

**COUNTY OF VENTURA ENTITLEMENT AREA  
2014-15 COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PROGRAM**

**INSTRUCTIONS FOR COMPLETING PUBLIC FACILITY / INFRASTRUCTURE  
PROJECT PROPOSALS**

**Please Read These Instructions and the “CDBG Fiscal Year 2014-15  
Guidelines for Submitting a Proposal” Thoroughly.**

These instructions are to be utilized in conjunction with the FY 2014-15 Community Development Block Grant (CDBG) Program “Public Facility / Infrastructure” **Project Proposal** to request CDBG funds for projects in the cities of Fillmore, Moorpark, Ojai, Port Hueneme, Santa Paula, and/or the unincorporated area of the County of Ventura. Keep in mind that if your agency is successful in obtaining CDBG funds for your project/program, the project proposal will become the Scope of Work for your CDBG contract with the County.

**For additional information on the fundamentals of the CDBG Program and how to complete the application, be sure to refer to the “CDBG Program Year 2014-15 Guidelines for Submitting a Proposal” and the Ventura County Entitlement Area FY 2010 - FY 2014 Consolidated Plan.**

A separate application must be submitted for each project being requested for funding. Make sure you have the appropriate proposal form for your project. There are five proposal formats: Public Service; Public Facility Acquisition, Construction, and/or Substantial Rehabilitation; Major Residential Housing Projects; Economic Development; and Housing Rehabilitation or Code Enforcement.

Use this form if your program will acquire, construct or rehabilitate a public facility or provide infrastructure improvements. **Substantial rehabilitation** means rehabilitation that involves costs in excess of 75 percent of the value of the building after rehabilitation. **Major rehabilitation** means rehabilitation that involves costs in excess of 75 percent of the value of the building before rehabilitation. Routine maintenance projects are not eligible. Please keep in mind, if your project is funded, there are several HUD regulations which will apply to your project and your contract will state that the facility will continue to be used for a CDBG eligible activity for a minimum of five (5) years.

Construction and other community improvement projects included in this proposal format are: construction or rehabilitation of public facilities, parks, roads, water and sewer facilities; acquisition of real property for eligible public purposes; demolition and clearance of deteriorated buildings; and removal of architectural barriers.

**HUD requires that all rehabilitation projects must have written, adopted rehabilitation standards. If rehabilitation, please submit a copy of your adopted rehabilitation standards.** For example, the following codes can serve as models for your standards; Uniform Building Codes, municipal codes, California State Codes.

Information regarding your clients or beneficiaries is mandatory and is extremely important. If funded, this information will become part of your CDBG contract and will be required to be reported to the County on the Quarterly Status Report (QSR).

Projects submitted on prior year application forms will NOT be considered for funding. Different proposal forms are required to request ESG or HOME funding and are available on the internet at <http://www.ventura.org/community-development/hud-grants> . For applications and guidance documents, select: [“Click for CDBG application forms or information on the FY 2014-2015 application process](#)

## **SECTION A: APPLICANT INFORMATION**

Complete all applicant information. For “Executive Director,” identify an individual who has authority to approve this application and receive official correspondence from the County. For applications from City Departments, this individual should be the City Manager. For County Agencies, this individual must be the Agency Director. Identify a “Contact Person,” who can answer questions regarding this proposal and one who can answer questions regarding fiscal matters, such as reimbursement requests.

Having a **DUNS** number is now a requirement for any business that receives federal assistance. If your organization does not have a DUNS number, call the dedicated toll-free DUNS Number request line at 1-866-705-5711 to obtain a number. The process is free and takes an average of ten minutes. Additional information can be obtained at: [http://www.whitehouse.gov/omb/grants/duns\\_num\\_guide.pdf](http://www.whitehouse.gov/omb/grants/duns_num_guide.pdf)

Select the correct type of project to match your funding request; specify the number of beneficiaries to be served and their location; and the amount of funds requested and matching funds for this project.

## **SECTION B: PROJECT INFORMATION**

Complete all requested project information. You may use more than the space provided for each question, but the complete response for Section B, Questions 1 through 6, is not to exceed three (3) pages, formatted in 11 point Arial font, and .75” margins. These questions have been designed to complement the CDBG Project Review Checklist, so concise answers to each question are important for your application to score well.

1. **NEED:** Overall impact in addressing priority needs of the FY 2010 - FY 2014 Consolidated Plan and included in Appendix A of the Guidelines.

Describe the unmet community need(s) your project proposal addresses. To quantify needs, use relevant statistics, census data, community plan, etc. All funded projects must be consistent with the FY 2010 - FY 2014 Consolidated Plan. Include an explanation of how the project meets the national objective and the priority need selected. Additional information about HUD National Objectives is available on-line at: [http://edocket.access.gpo.gov/cfr\\_2004/aprqrtr/pdf/24cfr570.208.pdf](http://edocket.access.gpo.gov/cfr_2004/aprqrtr/pdf/24cfr570.208.pdf)

2. **PERFORMANCE MEASUREMENTS / OUTCOMES:** Questions are designed to determine the magnitude of benefit of the proposed project to persons of low and moderate income. (At least 51% of beneficiaries must be 80 percent or less of the adjusted area median household income). Identify the performance outcome that best fits your project based on the descriptions below.

### **Outcomes:**

**Availability/Accessibility.** Activities that make services, infrastructure, housing or shelter available or accessible to low-income people, including persons with disabilities. Accessibility includes making the affordable basics of daily living available and accessible to low-income people.

**Affordability.** Affordability applies whenever an activity is lowering the cost, improving the quality, or increasing the affordability of a product or service to benefit a low-income household. Activities that provide affordability includes the creation or maintenance of affordable housing, basic infrastructure hook-ups, or services such as transportation or day care.

**Sustainability/Promoting Livable or Viable Communities.** Activities are aimed at improving communities or neighborhoods, helping to make them livable or viable by providing benefit to low-income people or by removing or eliminating slums or blighted areas, through multiple activities or services that sustain communities or neighborhoods.

**Objectives:**

Suitable Living Environment. Activities that benefit communities, families, or individuals by addressing issues in their living environment such as public services, capital improvements, neighborhood revitalization, etc.

Decent Affordable Housing. Activities include a wide range of housing programs possible where the purpose of the program is to meet individual family or community needs and not programs where housing is an element of a larger effort (such as would be captured above in Suitable Living Environment).

Creating Economic Opportunities. Includes activities related to economic development, commercial revitalization, or job creation.

**3. COST:** Reasonableness of costs compared to number of clients to be served.

Describe how the overall project budget is cost effective and reasonable. 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 to incur the cost. The question of reasonableness is particularly important when governmental units or components are predominately federally funded. In determining reasonableness of a given cost, consideration shall be given to:

- a. Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the governmental unit or the performance of the Federal award.
- b. The restraints or requirements imposed by such factors as: sound business practices; arms length bargaining; Federal, State and other laws and regulations; and, terms and conditions of the Federal award.
- c. Market prices for comparable goods or services.
- d. Whether the individuals concerned acted with prudence in the circumstances considering their responsibilities to the governmental unit, its employees, the public at large, and the Federal Government.
- e. Significant deviations from the established practices of the governmental unit which may unjustifiably increase the Federal award's cost.

Implementation costs will be evaluated based on the costs incurred per person, per unit, per square foot, or benefit received and the justification for the particular level of funding requested.

**4. TIMELINESS/PROJECT READINESS:** Project Readiness, Site Control, NEPA clearance.

Describe how the resources needed to manage the proposed activity are available and ready. If project is not staffed at this time, explain how long it will take to begin serving beneficiaries. Be realistic about the time frame for project implementation. If this is an ongoing project, discuss how long the project has been in place.

**5. MANAGEMENT AND PAST EXPERIENCE:** Experience and capacity for administering HUD funds.

Applicant experience includes the length of time in business; experience in undertaking projects of similar complexity; and experience in administering federal grant awards.

Applicant's past performance will be evaluated in terms of meeting prior year objectives and accomplishments, submission of reports and expenditure of funds in timely manner, and adherence to the scope of services defined in their contract.

**6. COLLABORATION:** Non-Duplication of Effort / Linkages with Other Non-Profit/County programs.

Applicant should address any collaboration with other service providers and agencies and if there is community support for the project.

**7. PROPERTY OWNERSHIP**

Indicate the legal owner of the property. If the current owner is not the jurisdiction undertaking the project, indicate the status of any efforts to gain site control and the final property owner. Failure to obtain site control in a timely manner may result in withdrawal of your award.

**8. FAIR LABOR STANDARDS ACT COMPLIANCE**

Indicate who will be administering your Davis-Bacon compliance. CDBG staff will be contacting this person to discuss the details of the compliance requirements. A copy of the County of Ventura's guidance for Davis-Bacon compliance may be requested by sending an e-mail to [hud.programs@ventura.org](mailto:hud.programs@ventura.org).

**9. IMPLEMENTATION SCHEDULE**

Indicate major project milestones with the month and year of anticipated implementation and completion. Milestones must represent pertinent, tangible, measurable goals. For example, "property purchased," "architectural design completed," etc. Note: "dollars spent" or "end of first quarter" are **not** milestones. Keep in mind that if your project is funded, you may not receive authorization to spend until approximately early-October (when the County usually receives authorization from HUD.) If your organization must initiate the project immediately utilizing other resources, but prior to receiving authorization to spend the CDBG funds, contact the County CDBG staff to ensure the NEPA clearance has been completed and approved.

**10. GEOGRAPHIC BOUNDARIES**

This description must include a list of specific **census tracts** if this is a low/mod area benefit project. **Attach a map.**

**11. MAINTENANCE AND OPERATIONS**

If your agency will be responsible for maintenance and operations of the completed facility, please provide your agency's budget and sources of revenue for the maintenance and operation of the proposed project. The budget should include information on the cost of utilities, materials, maintenance (include capital expenditures), insurance, personnel (Janitorial, Maintenance, etc.), and any other maintenance or operational costs.

If your organization is not going to be responsible for the ongoing maintenance and operations, indicate the organization that will be responsible and have an authorized official of that organization sign the Maintenance and Operations Budget Certification.

**Certification of Maintenance and Operations Budget**

The Maintenance and Operations Budget Certification must be signed by an authorized agency representative of the organization responsible for the maintenance and operations. This may be a third party and may not be the organization receiving the CDBG funds. This document is required.

## **SECTION C: HUD REQUIRED BENEFICIARY INFORMATION**

**1. Income Eligibility:** Client income information and documentation is required by HUD for all programs that serve low-income beneficiaries. HUD defines the upper income limits and publishes the data annually usually early in the calendar year. The current income limits for program eligibility are listed on HUD's website at: <http://www.huduser.org/datasets/il.html> and included in the Submittal Guidelines. Activities that benefit at least 51% of extremely low income (30% of AMI), very-low income (50% of AMI), and low-income (80% of AMI) people/households will receive a higher range of points.

The following are the only ways client income information can be obtained to determine client eligibility for this grant funding:

**Area of Benefit:** This is defined as a service area (or community) that is more than 51% low-income according to the **2000** Census, as directed by HUD. If you need to determine the income status of your service area, you can access the HUD website at:

<http://www.hud.gov/offices/cpd/systems/census/ca/index.cfm>

Instructions: Go to the Section Low to Moderate Income Estimates and Summarized Low/Mod Data. Click to Open or Save the Excel file for the most current fiscal year. Scroll down (or filter) Column A to #069111 to find Ventura County (Column B) and the Census Tract(s) (Column H) and Block Groups (Column I) for your project area. Scroll out to Columns J, K, and L, which reflect the total population of the area, the low-income population of the area and the percent of low-income residents.

If your service area covers several Census Tracts and/or Block Groups, please list them on an attached sheet and indicate the low-income percentage for each service area.

**Self Certification:** Clients are allowed to "self-certify" (provide income information without documentation). Examples of self-certification include membership forms, intake forms, school documents, survey, etc. Please attach your form or other documentation.

**Client Document Review:** Clients are required to provide tax documents, pay stubs or other documents to substantiate actual income. This process is utilized primarily with housing projects and housing assistance programs.

**Presumed Beneficiaries:** Clients are primarily from one of the following groups which HUD has predetermined to be low-income and your program is specifically designed and focused on serving the group: abused children, battered spouses, elderly persons (62 years of age or older), illiterate persons, migrant farm workers, handicapped individuals, homeless persons.

**Other:** If you believe your project is CDBG eligible but does not utilize any of the listed methods to determine client income eligibility, please contact the appropriate CDBG staff to discuss your project.

**2. Race and Ethnicity:** The Federal Office of Management and Budget (OMB) provides the standards for Federal agencies, including HUD and its program offices and partners, that collect, maintain, and report Federal data on race and ethnicity for statistical purposes. The OMB required implementation by December 31, 2002, of the following data collection standards for federal grant recipients. Provide a copy of your program's "eligibility" form. It must meet these requirements in order to be eligible for HUD funding: (1) separate questions for race and ethnicity should be asked; (2) both questions must be answered; and (3) the ethnicity question should precede the race question.

Ethnicity: (select only one) \_\_\_\_\_ Hispanic or Latino \_\_\_\_\_ Not Hispanic or Latino

Race: (select one or more of the following)

	American Indian/Alaskan Native
	Asian
	Black/African American
	Native Hawaiian/Other Pacific Islander
	White
	American Indian/Alaskan Native & White
	Asian & White
	Black/African American & White
	American Indian/Alaskan Native & Black/African American
	Other Multi-Racial

This information must be summarized and submitted to the County on the Quarterly Status Report (QSR) and must be submitted to HUD in the annual CAPER. Please answer the questions in this section as indicated.

**3. Location of Beneficiaries:** Indicate the estimated number of **UNDUPLICATED** beneficiaries that your project will serve by geographical jurisdiction once it is completed. Do not "OVER-PROMISE" on the number of beneficiaries that your project can realistically serve. Provide the anticipated number of persons who will benefit from this project given the nature of the project. If this project will result in shelter beds or other emergency housing, provide the number of beds resulting from the project.

Indicate how many of these beneficiaries also qualify as low/mod income. Use "P" for persons; "H" for households - choose only one of these beneficiary types. In most cases, the area of residence is the current residential address (city). If your agency provides a service that relocates clients to a "care facility," indicate the city of last residence (non supported housing). If your beneficiaries are homeless (individuals and/or families), indicate the location of the last bona fide housing unit (not a shelter or automobile). Use your best judgment. Do not use the unincorporated area category as a "catch all" for clients whose residence is unknown.

**SECTION D: ORGANIZATIONAL CAPACITY**

All non-governmental applicants must complete this section.

**HUD Grant Experience**

List a maximum of five HUD grants received within the last three (3) years including HUD grants from local jurisdictions. Briefly indicate the grant purpose, when it was received, and the amount of the grant.

**Fiscal Year and Audit Reports**

Complete this section based on your organization's most recently completed audit. If there are any outstanding audit findings, please attach a copy of those findings with an explanation of the resolution or planned action.

## Financial Management

If your organization is a <b>non-profit</b> , your organization must comply with 24 Code of Federal Regulations parts 84.21 -28, and 570.502 and the following Office of Management and Budget Circulars:
OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations"
OMB Circular A-122 "Cost Principles for Non-Profit Organizations"
OMB Circular A-133 "Audits of States, Local Governments and Non-Profit Organizations"
If your organization is a <b>governmental entity or a for-profit organization</b> , your organization must comply with 24 Code of Federal Regulations Part 85 and the following Office of Management and Budget Circulars:
OMB Circular A-87 "Cost Principles for State, Local, and Indian Tribal Governments"
OMB Circular A-133 "Audits of States, Local Governments and Non-Profit Organizations"

For more information on these requirements go to: <http://www.whitehouse.gov/omb/circulars/index.html>

## Organizational Structure

If your organization is **non-profit or for-profit** organization, attach all documents listed on the proposal.

## Insurance Documentation

**All applicants**, except County of Ventura Agencies, must submit a copy of your **current Certification of Insurance** indicating your general liability, automobile, and worker's compensation coverage. If you are awarded grant funds, the insurance policy must be modified to name the County of Ventura as "additionally insured." You will be required to submit a copy of the revised certificate. *You must have all of the insurance coverage required for your "Risk" category as listed in the table on the next page.* If your organization is self insured, please indicate.

## Faith Based Organizations

HUD requires the County to report information about CDBG funded "faith-based" organizations. Organizations are not required to be "faith-based" to receive CDBG funding. "Faith-based" does not mean the organization is carrying out inherently religious activities with CDBG funds or that it serves only persons of a particular faith.

**COUNTY OF VENTURA  
VENDOR INSURANCE REQUIREMENTS**

Contractors doing work for or on behalf of the County of Ventura must be held responsible for their work. To protect the County against loss due to accidents or injuries caused by contractor operations, the County has established vendor insurance requirements. In general, contractors are required to protect their own workers with workers' compensation insurance, and protect their own company and the County with commercial or general liability insurance, as well as auto insurance and professional liability coverage, where appropriate. Requirements vary, depending on the nature of the work to be done. These guidelines outline requirements that will be applicable to the majority of operations. Contractors are required to submit proof of compliance with these requirements, as outlined below. Questions should be directed to Risk Management at 654-3197.

<b>RISK EXPOSURE - EXAMPLES</b>		
<p><b><u>LOW Risk Contractor</u></b> Seminars, workshops, classroom training, clerical duties, (filing, word processing, photocopying, data entry), web site design, reports development, low to moderate physical activity training (yoga, light exercise), office equipment maintenance and/or repair, research projects, project/ program development, data processing services (consulting, testing, custom programming). Works primarily with County employees.</p>	<p><b><u>STANDARD Risk Contractor</u></b> Minor road repair (potholes, etc.) flood control channel cleanup/repair, mechanics (equipment, vehicle or watercraft repair), equipment rental with operator (excluding cranes), towing, transport, solid waste recycling or disposal, filming projects, project/program management, most lessees, other activities in and around areas with public exposure. Frequent contact with non-county persons.</p>	<p><b><u>HIGH Risk Contractor</u></b> Hazardous materials abatement / disposal, road design, building design, construction projects, crane equipment rental with operator, aircraft repair, airport/aviation, fuel suppliers, ambulance services, health care services, carnivals, harbor/marine, fireworks exhibitions, restaurants/cafe/terias/ snack bars, any services provided to minors.</p>
<p><b><u>LOW Risk Insurance Requirements</u></b> Commercial General Liability \$500,000 per Occurrence \$500,000 Annual Aggregate</p> <p>Commercial Automobile Liability:* \$300,000 ea accident</p> <p>Workers Comp (statutory):** \$500,000 Employers Liability</p>	<p><b><u>STANDARD Risk Insurance Requirements</u></b> Commercial General Liability \$1,000,000 per Occurrence \$2,000,000 Annual Aggregate</p> <p>Commercial Automobile Liability:* \$1,000,000 ea accident</p> <p>Workers Comp (statutory):** \$1,000,000 Employers Liability</p>	<p><b><u>HIGH Risk Insurance Requirements</u></b> Commercial General Liability Specific Insurance Requirements Determined by Risk Management</p> <p>Commercial Automobile Liability:* \$1,000,000 ea accident</p> <p>Workers Comp (statutory):** \$1,000,000 Employers Liability</p>
<p><b>Additional Insured Endorsement:</b> General and Commercial Liability policies should add the County of Ventura as an additional insured with a policy endorsement.</p> <p><b>Evidence of Insurance Coverage:</b> Vendors must provide GSA-Procurement Services a certificate of insurance and policy endorsements evidencing the required insurance coverage.</p>		
<p>*Automobile liability coverage: Contractors required to transport County employees, County clients or using their vehicle in the course of their work for the County (i.e. tow trucks, and cranes) are required to provide commercial auto insurance.</p> <p>**Workers' compensation policies should include, a Waiver of Subrogation, which is evidenced with a policy endorsement. Workers' compensation insurance is not required if the vendor is a sole proprietor/partner/corporate officer with no employees. Evidence of this exemption must be submitted to procurement.</p>		

**PROFESSIONAL LIABILITY(ERRORS & OMISSIONS/MEDICAL MALPRACTICE) COVERAGE**  
\$1,000,000 per Occurrence / \$2,000,000 Annual Aggregate

In some cases, professional liability coverage will be required. Some professionals that require this type of coverage include: licensed health care providers, surveyors, attorney's, architects, and engineers.

(vendor insurance requirements 10-09)

## **SECTION E: DEVELOPMENT BUDGET/LEVERAGING**

CDBG funds should be utilized as **gap funding**. A gap is defined as the amount of funding necessary to run a program after all other funding sources have been identified, thus leveraging is very important in the application process. Ranking scores will be higher for budgets indicating non-CDBG funds or in-kind match will be committed to the project. Explain any impact on your project if your application does not receive the full amount of CDBG funds requested.

### **1. Current Year Project Budget and Funding**

If you are requesting funds for an ongoing project, list all current budget categories and sources of funds for FY 2012-13 in Table I. If you are requesting funds for a new project, write "New Project" in the space provided for Project Title in Table I.

TABLE I – PUBLIC FACILITY/INFRASTRUCTURE FY 2013-14 ADOPTED BUDGET FORM  
Information included in this form should accurately reflect current year **adopted budget** for the ongoing project.

- a. Indicate the proposed revenue sources for your project – **Please be specific and indicate the status of those funds.**
- b. Enter the corresponding expenses for your project. You may edit the categories to best reflect the types of expenses for your project.

### **2. Anticipated Project Funding**

This section requests a summary of the anticipated funding sources for your project. If funded, this information will be updated to reflect actual funding. **Proposal reviewers will consider the percentage of funding from sources other than CDBG which reflects the extent of support received from other agencies (both public and private).** Consideration will also be given to the proportion of the total project cost requested from the jurisdictions compared to the number of clients expected to be served from the respective jurisdictions. Keep in mind if your agency is successful in obtaining CDBG funds for your project, this budget information will become a major part of your CDBG contract with the County. As your agency proceeds to submit monthly expenditure reimbursement requests, your requests will be verified against the budget items included in this Section.

TABLE II – PUBLIC FACILITY/INFRASTRUCTURE FY 2014-15 PROPOSED BUDGET FORM.

- a. Indicate the proposed revenue sources for your project – **Please be specific and indicate the status of those funds.**
- b. Enter the corresponding expenses for your project. You may edit the categories to best reflect the types of expenses for your project.
- c. Indicate the types of expenses you will be submitting for reimbursement in the text box at the bottom of the page. Information included in this section must correlate to the project description provided in Part B. For example, if your project description includes architectural services expenditures, they should be included in the expenditure narrative on the form in order to be reimbursable.

**NOTE:** Personnel who are paid any portion of their salary by CDBG funds must provide detailed, signed time sheets reflecting CDBG financed hours in order for expenditures to be reimbursed.

**Project Pro Forma:** A project pro forma will be required for project consideration. The construction and/or operating pro forma must detail all of the costs and revenues for the project. If a project pro forma is not currently available, please indicate when it will be available for review. Lack of a pro forma may result in denial of the funding request.

## **SECTION F: PRELIMINARY ENVIRONMENTAL REVIEW**

**Need for NEPA Clearance:** Public Facility Acquisition, Construction and Substantial Rehabilitation Projects and Commercial Rehabilitation Projects **must** complete the Preliminary Environmental Review for compliance with the National Environmental Policy Act (NEPA). If your project is funded, there are several HUD regulations which will apply to your project and your contract will state that the facility will continue to be used for a CDBG eligible activity for a minimum of five (5) years. Refer to the CDBG Guidelines for Submitting a Proposal for additional NEPA requirements.

## **SECTION G: AGENCY CERTIFICATION**

Agency Certification must be signed by an authorized agency representative, i.e., Executive Director, Agency Head, or City Manager. Signatory authority must be granted in writing by the applicable governing body.