|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **For DLG Use Only** |  | **SAI Number** |  | **If a Project involves Water or Sewer Activities** |
| **24-** |  |  |  | WRIS Number |

|  |
| --- |
| **PROJECT TITLE** |

**APPLICANT**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Legal Applicant | | CEO | | | E-mail Address | | | | | |
| Street or P. O. Box | | | City | | | | County | State  KY | | ZIP Code + 4 | |
| Telephone Number | KY State Vendor Code | | | Unique Entity ID | | Tax ID Number | | | SAM Number | | |

**JOINT APPLICANT**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Legal Applicant | CEO | | Email Address | | | | |
| Street or P. O. Box | | City | | County | State  KY | | ZIP Code + 4 |
| Telephone Number | Fax Number | | Unique Entity ID | | | Tax ID Number | |

**APPLICANT’S SUBRECIPIENT- CHECK BOX IF A FAITH BASED ORGANIZATION**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Name | | | CEO | Email Address | | | |
| Street or P. O. Box | | City | | | County | State  KY | ZIP Code + 4 |
| Telephone Number | Fax Number | | | Unique Entity ID | | | |

**PREPARER**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Name | | Telephone Number | | FAX Number | | |
| Organization | E-mail Address | | | | Certified Administrator  Yes  No | |
| Street or P. O. Box | City | | County | | State  KY | ZIP Code + 4 |

|  |  |  |  |
| --- | --- | --- | --- |
| State House District | State Senate District | Congressional District | Area Development District |

Text

Description automatically generated

These forms are designed to obtain pertinent information, **not lengthy narrative**. Forms provided **must** be used and completed according to instructions. Instructions are given below and on the respective forms. **No additional pages** will be allowed **unless noted on relevant form page. Do not reference reports, studies, etc.. summarize in the spaces provided in application.**

**Answer all** **questions--if a particular question is not pertinent to your project, insert N/A**. Please type or print all information. Attach and number all pages and exhibits to correspond with the appropriate section.

The following materials constitute a complete application. Attach and number all exhibits to correspond with the appropriate section.

**Please provide the page number for each item listed below on the line to the left:**

Project Summary

Project Funding Summary

Cost Summary

[*https://kydlgweb.ky.gov/Documents/CDBG\_cities/COSTSUMMARY2010.xls*](https://kydlgweb.ky.gov/Documents/CDBG_cities/COSTSUMMARY2010.xls)

\_\_\_Attach a Detailed Cost Estimate from a Professional Engineer – *(Please see page 26 as example)*

*\_\_\_Implementation Schedule*

Mapping Requirements

Citizen Participation - tear sheet, signed detailed public hearing minutes/handouts, sign-in sheet, and comments.

Please indicate which of the National Objectives, as stated in Section II of the Program Guidelines, that applies to this project:

LMI  (complete page 8) Slum\Blight  (Contact DLG) Urgent Need  (Contact DLG)

*If using LMI per survey results, be sure to attach a copy of the LMI Worksheet(s)*

[*https://kydlgweb.ky.gov/Documents/CDBG\_cities/AppendixBLMIWorksheetUpdated.xls*](https://kydlgweb.ky.gov/Documents/CDBG_cities/AppendixBLMIWorksheetUpdated.xls) *and an example of a survey form used for the 2021 project*

Certification of Area Income Eligibility

Person and Household Benefit Profiles

[*https://kydlgweb.ky.gov/Documents/CDBG\_cities/BenefitProfilewithBudgetInfo.xls*](https://kydlgweb.ky.gov/Documents/CDBG_cities/BenefitProfilewithBudgetInfo.xls)

\_\_\_Project Overview – Including Project Need (pg. 14-19) and Project Effectiveness (pg. 20-25)

Housing and Community Development Needs

Title VI Form

Statement of Assurances

Documents to Attach:

Authorizing Resolution adopted by the community’s governing body

Documentation supporting Commitment of Other Funds

Kentucky State Clearinghouse Endorsement, as stated in Section III of the 2024 CDBG Program Guidelines

Letter signed by the applicant CEO stating how applicant has met threshold requirements as stated in Section III of 2024 CDBG Program Guidelines

Applicant/Recipient Disclosure/Update Report (form HUD-2880)

<https://www.hud.gov/sites/documents/2880.PDF>

For water or sewer line extension activities, attach evidence that water or sewer lines will serve at least a minimum average of 6 customers per mile

Division of Water written approvals, if applicable to this project

Municipal Planning Branch (Planning Approval)

Engineering design and specifications approved\*\*

*\*\*These must be dated within 2 years of submission of this form*

***\_\_\_\_\_\_\_\_\_For water projects applicant must provide a letter from the distribution system and/or water treatment plant stating they have sufficient capacity to address the demand.***

***\_\_\_\_\_\_\_\_For wastewater projects applicant must provide a letter from the collection system and/or wastewater treatment plant stating they have sufficient capacity to receive and treat the sewage.***

\_\_\_\_\_\_\_\_Agreed Orders (if applicable)

###### NOTE: Partial submissions will NOT be accepted!

**Please provide a brief detailed description of the proposed project. DO NOT exceed page limit of 1.**

**FINANCING**

Include **all** funding amounts and sources. Please complete all appropriate columns and indicate the status of funds as “Approved”, “Applied For”, or “Committed”. In-kind contributions should be listed separately on the chart below.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Source** | **Amount** | **Project %** | **Type** | **Rate** | **Term** | **Status of Funds** |
| CDBG |  |  |  |  |  |  |
| CDBG Admin/Planning |  |  |  |  |  |  |
| **Subtotal - CDBG** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| Other Funds Subtotal |  |  |  |  |  |  |
| **Total** |  |  |  |  |  |  |
|  | | | | | |

**APPLICATION CERTIFICATION**

I **certify** to the best of my knowledge and belief that the information provided herein is **true, complete, and accurate. I am aware that the provisions of false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil, or administrative consequences** including, but not limited to violations of U.S. Code Title 18, Sections 2, 1001, 1343 and Title 31, Section 3729-3730 and 3801-3812” Applies to all tiers of subrecipients. I also agree to comply with requirements of 24 CFR Part 58.

I also **certify**, to my knowledge and belief that the information provided in the Community Development Block Grant Application form is **identical** to the WRIS Project Profile provided via electronic submission to the Kentucky Infrastructure Authority and the eClearinghouse, and this information is true, accurate and complete.

I am aware that the proposed project may be removed from further consideration should it be determined that there are significant discrepancies in the information provided, and/or false, inaccurate or incomplete information has been given.

Title

Signature, Chief Executive Officer

Date

Name Typed

*If multi-jurisdictional application, joint applicant must also certify below.*

Signature, Chief Executive Officer

Title

Name Typed

Date

Attach a copy of the Public Facility Project Cost Summary. The Public Facility Project Cost Summary is included in an Excel spreadsheet named *Cost Summary.xls* and that file can be downloaded from the DLG web site ([*https://kydlgweb.ky.gov/Documents/CDBG\_cities/COSTSUMMARY2010.xls*](https://kydlgweb.ky.gov/Documents/CDBG_cities/COSTSUMMARY2010.xls)).

Replace this page with the completed Cost Summary for this application

**Cost Summary**

1. Enter the amount of CDBG funds requested for each activity identified in the "CDBG Funds" column.

2. Enter the amount(s) of other funds (RD, ARC, KIA, etc.), to be used for each activity in the "Other Funds" column. The source of these funds should be identified in the "Source" column. If more than one (1) "Other Source of Funds" is used for an activity, please identify the amounts and sources separately.

3. When an activity has several components, the sum for all components should be totaled and entered on the "Total" line for the activity.

4. Subtotal all activity costs.

5. Total all project costs (CDBG, Other Funds, and Total Costs) and **Check for mathematical errors.**

**Special Notes:**

* Total engineering design and inspection services are based on total construction costs excluding contingencies. CDBG funding for engineering cannot exceed the RD fee schedule **and MUST be a not to exceed contract.** **IF** CDBG, ARC, or local funds are financing engineering costs, provide the RD scale calculations supporting costs and the engineering procurement must be pre-approved by DLG.
* All engineering costs should be included in the appropriate line item of the cost summary: 5a thru k. Engineering costs should be broken out and shown in the engineering chart at the bottom of the page.
* Public Services costs are not eligible for CDBG participation except for Recovery Kentucky projects.
* Contingencies: No CDBG funds shall be used for contingencies.
* Program Income is any money generated from CDBG projects and may be eligible for use in public facilities projects. Contact DLG for further information.
* Service lines must be shown as Rehabilitation Grant, Activity Code 4b. **If cost is greater than $1,000 per household, Section 8 income verification must be completed.** (Contact DLG)
* Do not include in-kind dollars on the Cost Summary.
* Tap fees to be collected must be included in construction line items and identified in the source column (Make sure to include tap fees on the Project Funding Summary).
* **Tap fees are not considered program income**.

**Reminder:**  Include costs associated with the requirement for recipient to erect a project sign according to CDBG specifications.

**Insert the detailed engineers estimate behind the Cost Summary**

**All projects must include the following information on their maps**:

Replace this page with the completed Maps for this application

1. Include map of the applicant's **jurisdiction** showing:

* boundaries of the entire jurisdiction;
* project's location within the jurisdiction; and
* areas of minority concentration within the jurisdiction.

2. Include map of the applicant's **project area**(s). This map must be of engineer’s quality, specific to the project area(s), **and must clearly delineate:**

* boundaries of the project area(s);
* city limits
* land to be acquired;
* floodplain area;
* drainage problem area; and
* highways and railroad lines proximate to the project area.
* water and wastewater treatment plants within the jurisdiction;
* proposed improvements including sizes/dimensions;
* sizes/dimensions of existing facilities serving the project area(s);
* test sites;
* deficient facilities; and
* each proposed line by numbering the line and providing number of customers to be served, and length of each proposed line.
* Legible detailed map legend

3. Include a Census Tract map (s) showing the location of the proposed project. Census Tract Maps can be downloaded at <http://www.census.gov/>

**NOTE:** Energy and Environment Cabinet (EEC) requires the submission of a copy of a 7.5 minute USGS topographical map delineating these items. It is recommended that the project area map take this form. Make sure the maps are legible and at least one of the application copies contains color maps.

1. Date of publication of notice of CDBG information to the public
2. Notice of first public hearing

Date of advertisement

Date of hearing

Grantees are encouraged to make virtual participation possible by making the hearing available on an online platform.

1. Describe the other methods used to solicit participation of low- and moderate-income persons, such as posting notices at public buildings, radio ads, etc...

|  |
| --- |
|  |

1. Describe any adverse comments/complaints received and the resolutions.

|  |
| --- |
|  |

5. Attach to this form:

1. Tear sheet of all public notices/Online platform documentation
2. Signed Minutes of the public hearing(s) including lists of signatures from attendees, agendas, and handouts
3. Copy of response(s) to comment(s) and/or complaint(s)

In the first column, list each proposed CDBG activity that will benefit persons of Low and Moderate Income (LMI), exclude planning and administration activities. In the second column provide the applicable Code of Federal Regulations (CFR) citation for LMI benefit. In the third column, respond to the following for each activity. *(Attach additional pages if necessary)*

1. Identify source documentation for determining LMI benefit *(e.g. survey, census tract, combonation)*
2. Explain how each activity will benefit LMI individuals *((1)area benefit, (2)limited clientele, (3)housing, (4)job creation or retention)*
3. Provide description of survey method *(if applicable)*

|  |  |  |
| --- | --- | --- |
| **Cost Summary Activity Number** | **CFR**  **Citation** | **LMI Benefit** |
|  |  |  |

Describe how LMI information was assembled

|  |
| --- |
| Community wide |
| Census tract/block area  *(list census tract numbers, attach copy of map and other documentation)* |
| Survey Area |
| Other *(describe)* |

**Please Include the Following**

1. Attach Certification of Area Income Eligibility *(if surveys were conducted)*
2. Attach LMI Worksheets *(if applicable)*
3. Attach Sample Survey *(if applicable)*

Note: For CFR (LMI) determination, refer to the HUD Guide to National Objectives for State CDBG program

<http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/communitydevelopment/library/stateguide>

***To be used by applicants using income surveys as the basis for proving LMI benefit***

I certify that a household income survey was performed for the CDBG project area on       to determine the percentage of low and moderate income (LMI) residents. LMI determination was based on the      HUD income limits for      . A copy of the survey methodology (sample size and methodology, survey collection method, etc.) is included in the application as part of the Benefit to Low- and Moderate-Income form. A copy of the survey form used and the LMI worksheet are attached to this Certification.

The survey was carried out in conformance with the 2024 Kentucky CDBG Program Guidelines. To the best of my knowledge, the results of the income survey are true and accurate reflection of current economic conditions in the activity service area.

Signature, Chief Executive Officer

Date

#### Person Benefit Profile

Identify persons benefiting from the project and enter the number of **total beneficiaries** for all activities (exclude engineering, planning and administration). Individuals who receive benefit from more than one activity should not be double counted within the total. For each activity, persons must be identified by racial and ethnic background. **The individual themselves make this determination**.

[*https://kydlgweb.ky.gov/Documents/CDBG\_cities/BenefitProfilewithBudgetInfo.xls*](https://kydlgweb.ky.gov/Documents/CDBG_cities/BenefitProfilewithBudgetInfo.xls)

Replace this page with the completed Person Benefit Profile for this application

1. At the top of the page, list **total** number of beneficiaries for all activities.
2. List the proposed activity number (exclude engineering, planning, and administration).
3. List number of **White** persons benefiting. (A person having origins in any of the original people of Europe, North Africa, or the Middle East)
4. List number of **Black/African American** persons benefiting. (A person having origins in any of the black racial groups of Africa.
5. List number of **Asian** persons benefiting. (A person having origins in any of the original people of the Far East, Southeast Asia, the Indian subcontinent, including Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.)
6. List number of **American Indian/Alaskan Native** persons benefiting. (A person having origins in any of the original peoples of North, Central and South America and who maintain tribal affiliation or community attachment.)
7. List number of **Native Hawaiian/Other Pacific Islander** persons benefiting. (A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.)
8. List number of **American Indian/Alaskan Native & Other** persons benefiting.
9. List number of **Asian & White** persons benefiting.
10. List number of **Black/African American & White** persons benefiting.
11. List number of **American Indian/Alaskan Native & Black/African American** persons benefiting.
12. List number of **Other Multi-Racial** persons benefiting.
13. Add together and **total** the number of beneficiaries for all races for an activity and enter the number in the total space.
14. List number of **Hispanic** persons benefiting. (A person of Mexican, Puerto Rican, Cuban, Central or South America or other Spanish culture or origin, regardless of race.). Each person listed in the Total for that race, must be determined to be Hispanic or not. Race is not a factor in this column. Show the number of that race who believe themselves to be Hispanic.
15. Show the Total of all Hispanic persons.
16. List number of **female head of households** benefiting.
17. List number and percent of **extremely low-income** persons benefiting (0% to 30% of median).
18. List number and percent of **very low-income** persons benefiting (31% to 50% of median).
19. List number and percent of **low-income** persons benefiting (51% to 80% of median).
20. Add 17, 18, and 19 together and show the total number and percentage of LMI persons.
21. List number of persons who are not low to moderate income (above 81% of median).
22. List all sources of funding (CDBG, HOME, ESG, HOPWA, ARC, etc) and amount of funds to be expended by **project activity**.
23. Complete as many sections as necessary to report beneficiaries for all CDBG funded project activities.

**Note:** Use combined numbers if using a census/survey combination

**Reminder:** Check **all** numbers for accuracy and consistency with other application paperwork, especially the worksheet and the customer report (question 10a.)

**Household Benefit Profile**

Please complete a Household Benefit Profile using the ***Benefit Profile*** spreadsheet that is a separate file. Use the following instructions in completing that spreadsheet. Identify families benefiting from the project and enter the number of **total households** for all CDBG funded activities (exclude engineering, planning, and administration). The numbers provided should be consistent with each specific housing survey. For each activity, household must be identified by racial and ethnic background. **The individual themselves make this determination**.

[*https://kydlgweb.ky.gov/Documents/CDBG\_cities/BenefitProfilewithBudgetInfo.xls*](https://kydlgweb.ky.gov/Documents/CDBG_cities/BenefitProfilewithBudgetInfo.xls)

Replace this page with the completed Household Benefit Profile for this application.

1. At the top of the page, list the **total** number of households for each activity.
2. List the proposed activity number (exclude engineering, planning, and administration).
3. List number of **White** households benefiting. (A person having origins in any of the original people of Europe, North Africa, or the Middle East.)
4. List number of **Black/African American** households benefiting. (A person having origins in any of the **black** racial groups of Africa.)
5. List number of **Asian** households benefiting. (A person having origins in any of the original people of the Far East, Southeast Asia, the Indian subcontinent, including Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.)
6. List number of **American Indian/Alaskan Native** households benefiting. (A person having origins in any of the original peoples of North, Central and South America and who maintain tribal affiliation or community attachment.)
7. List number of **Native Hawaiian/Other Pacific Islander** households benefiting. (A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.)
8. List number of **American Indian/Alaskan Native & Other** households benefiting.
9. List number of **Asian & White** households benefiting.
10. List number of **Black/African American & White** households benefiting.
11. List number of **American Indian/Alaskan Native & Black/African American** households benefiting.
12. List number of **Other Multi-Racial** households benefiting.
13. Add together and **total** the number of households for all races for an activity and enter the number in the total space.
14. List number of **Hispanic** households benefiting. (A person of Mexican, Puerto Rican, Cuban, Central or South America or other Spanish culture or origin, regardless of race.). Each person listed in the Total for that race, must be determined to be Hispanic or not. Race is not a factor in this column. Show the number of that race who believe themselves to be Hispanic.
15. Show the Total of all Hispanic households.
16. List number of **female head of households** benefiting.
17. List number of **households with disabled persons** benefiting.
18. List number and percent of **extremely low-income** households benefiting (0% to 30% of median).
19. List number and percent of **very low-income** households benefiting (31% to 50% of median).
20. List number and percent of **low-income** households benefiting (51% to 80% of median).
21. Add 17, 18, and 19 together and show the total number and percentage of LMI households.
22. List number of households who are not low to moderate income (above 81% and above).
23. List all sources of funding (CDBG, HOME, ESG, HOPWA, ARC, etc) and amount of funds to be expended **by project activity**.
24. Complete as many sections as necessary to report households for all CDBG funded project activities.

**Reminder:** Check all numbers for accuracy and consistency with other application paperwork, especially the worksheet and the customer report (question 10a.)

**PROJECT NEED**

1. When were plant and/or system which serves the proposed project originally constructed?

|  |  |  |  |
| --- | --- | --- | --- |
| **List Major Improvements, if any** | **Year Completed** | **Funding Used** | **Approximate Cost** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

1. List the areas within the proposed project to be served (i.e. names of roads, communities, neighborhoods) as indicated on maps. *(Attach additional page if necessary, using same format)*

***Use the corresponding area letters as needed for questions 3, 5, and effectiveness question 12a***

|  |  |  |  |
| --- | --- | --- | --- |
| **Area** | **Road, Community or Neighborhood** | **Area** | **Road, Community or Neighborhood** |
| a |  | g |  |
| b |  | h |  |
| c |  | i |  |
| d |  | j |  |
| e |  | k |  |
| f |  | l |  |

1. List and briefly discuss **problems** or **sickness** within the project area (i.e. boil water, SSO, CS, contaminated wells…). Include reference to sources of documentation as listed under methodology. *(Attach additional page if necessary, using same format)*

|  |  |  |  |
| --- | --- | --- | --- |
| **Area(s)** | **Type of Sickness or Problems** | **# of Cases** | **Documentation** |
|  |  |  |  |
|  |  |  |  |
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|  |  |  |  |
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1. Discuss the amount of water loss in the water distribution system, especially percentage of loss (i.e. 30% loss).

     \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

If any correction is proposed, identify the percentage of water loss to be remedied.

     \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Briefly describe areas with storage problems, pressure problems, or I & I problems and reference documentation as listed under methodology. (Examples: dates studies were conducted and conclusions, frequency and duration of pressure problems, actions taken to date to correct problems, public comments/complaints). DO NOT ATTACH STUDIES, REPORTS, DOCUMENTS ETC. SUMMARIZE them below.

|  |
| --- |
|  |

1. Briefly discuss the level of contamination in regard to the water supply or sewage problems (Include number of tests/samples taken or studies conducted, type of contamination, source, type of problem, results of the tests/samples or studies conducted, etc. If inflow and infiltration are a problem, quantify the amount and the amount of reduction expected at completion.) DO NOT ATTACH STUDIES, REPORTS, DOCUMENTS ETC. SUMMARIZE them below.

|  |
| --- |
|  |

1. Identify current sanctions and attach copy(ies)

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Date Imposed** | **Fines Levied to Date** | **Final Compliance Date** |
| Administrative Order |  |  |  |
| Agreed Order |  |  |  |
| Tap-on Ban |  |  |  |
| Line Extension Ban |  |  |  |
| Other *(Explain)* |  |  |  |
|  |  |  |  |

1. Additional Project Information:
2. Identify the beneficiaries’ source of raw and treated water.

     \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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1. Identify the location of the sewer system outfall.

     \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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1. Is there a water management or facility plan for this project?      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

If yes, when was the plan last updated?      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Identify the entity that will own and maintain the proposed infrastructure.

     \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. In regards to operations and maintenance, does the responsible entity have the required number of operators?      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Are the operators certified at the required level?      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Are there other maintenance issues other than those discussed under the Project Need?      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. If Project is to address, I&I has an SSES been completed? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

If yes, list date of completion \_\_\_\_\_\_\_\_\_

1. **Briefly** summarize **other** needs related to this project.

|  |
| --- |
|  |

1. Methodology: List how you determined your needs and sources of documentation used.

***If a site visit is scheduled, these items will be reviewed***

1. a. Show the number of customers to **benefit from the proposed project**.

|  |  |  |
| --- | --- | --- |
|  | **Existing Customers** | **New Customers** |
| Households |  |  |
| Other: Businesses, Churches, Schools, Industry, etc. *(Count as 1 each)* |  |  |
| Miscellaneous *(Identify)* |  |  |
|  |  |  |
| **Total Customers** |  |  |

1. Describe the method used to determine the numbers provided in 11.a. above. *(i.e. surveys, billing records, customer base, …)*

|  |
| --- |
|  |

**PROJECT EFFECTIVENESS**

1. a. Cost of tap-on or hook-up fee

Discuss what services the fee covers

|  |
| --- |
|  |

b. What is the amount of over-income tap fees/hook-up fees you expect to collect?

(Number of over income households per LMI Worksheet (Part B, #13) x tap fees)

2. Are you providing service lines? Yes  No

*(Service lines are the lines installed from the property line to the residence.)*

If yes,

|  |  |  |
| --- | --- | --- |
| a | Number of Households |  |
| b | Estimated cost per foot |  |
| c | Average feet per household |  |
| d | How will they be paid |  |

1. a. Provide amount budgeted for acquisition.      \_\_\_\_\_\_\_\_
   1. How were acquisition costs determined?

|  |
| --- |
|  |

c. How many easements will be required?       Time Frame

d. How many acres of property will be required?      Time Frame

4. Does PSC have jurisdiction over this project? Yes  No

If yes, what is the time frame for approval?

***QUESTIONS #5 AND #6 MUST BE COMPLETED FOR ALL PROJECTS***

5. a. List the rate for **WATER** service based on 4,000 gallons: **Current**       **Proposed**

b. Average residential customer monthly water usage:       gallons

c. Date of last rate increase

d. Rate for 4,000 gallons **prior** to last rate increase

e. Rate for 4,000 gallons if project is completed without CDBG funding

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6. a. List the rate for **SEWER** service based on 4,000 gallons: **Current** **Proposed**

1. How is the sewer usage rate calculated *(i.e. 90% of water usage)*

|  |
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|  |

c. Date of last rate increase

d. Rate for 4,000 gallons **prior** to last rate increase

e. Rate for 4,000 gallons if project is completed without CDBG funding ­­­­­­\_      \_

7. a. Are the water and sewer revenues placed in separate accounts? Yes  No

If no, briefly explain:

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|  |

b. Are water revenues expended for water related activities only? Yes  No

Are sewer revenues expended for sewer related activities only? Yes  No

If no, briefly explain:

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|  |

8. If program income has been received from any CDBG project, what is the balance on hand?

Current Balance

Amount expected to be received in the next 12 months

9. a. Briefly discuss current or proposed water purchase or sewer treatment agreements. Include the nature of arrangements and cost.

CURRENT

|  |
| --- |
|  |

PROPOSED

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| --- |
|  |

b. Provide the following capacity and usage information for the water or sewer plant that serves the proposed project.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  |  | **Current** |  | **Proposed** |  |
| 1. | Design Capacity |  | MGD |  | MGD |
| 2. | Total existing customer usage |  | MGD |  |  |
| 3. | Total new customer usage |  |  |  | MGD |
| 4. | Total of # 2 and # 3 |  |  |  | MGD |

* 1. Explain project readiness. *(Include at minimum the status of other funds applications, engineering design, and environmental review.)*

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10. Discuss all local contributions to the project. *(Financial and other)*

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11. a. Specify the provisions for LMI persons included in the project. Be specific and provide the number of subsidized service lines, tap fee assistance, etc.

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b. Have you formalized a policy outlining LMI provisions stated above? Yes  No

***(Attach a copy of the draft or formalized provisions)***

12. a. For line extensions, provide the number of new customers to benefit per mile for each area. This section must correspond to areas as listed under Project Need*. (Attach additional pages if necessary, using same format)*

|  |  |  |  |
| --- | --- | --- | --- |
| **Area** | **# of Customers**  **to be Served** | **Miles of Line** | **Customers**  **Per Mile** |
| a |  |  |  |
| b |  |  |  |
| c |  |  |  |
| d |  |  |  |
| e |  |  |  |
| f |  |  |  |
| g |  |  |  |
| h |  |  |  |
| i |  |  |  |
| j |  |  |  |
| k |  |  |  |
| l |  |  |  |

1. For those areas with less than 6 customers per mile in 12a above, provide the rationale for the economic feasibility of serving the areas.

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13. a. Provide rationale for the manner in which the proposed project will (not) address system regionalization. *(Include discussion of feasibility of connecting to the nearest distribution, collection or treatment facility)*

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b. Will the proposed project eliminate any existing water or sewer treatment facilities?

Yes  No

If yes, name each treatment facility. *(Include small package facilities)*

|  |
| --- |
|  |

14. Mandatory connection of sewer customers is required for sewer projects. Does the applicant(s) have a mandatory sewer hookup/sewage use ordinance or other method to ensure sewer hookup for new customers in place or proposed?  Yes  No  N/A

***(If yes, attach a copy****)*

15. What percentage of the households within the utilities service area/boundaries are currently served?

      %\_\_\_\_\_\_\_\_

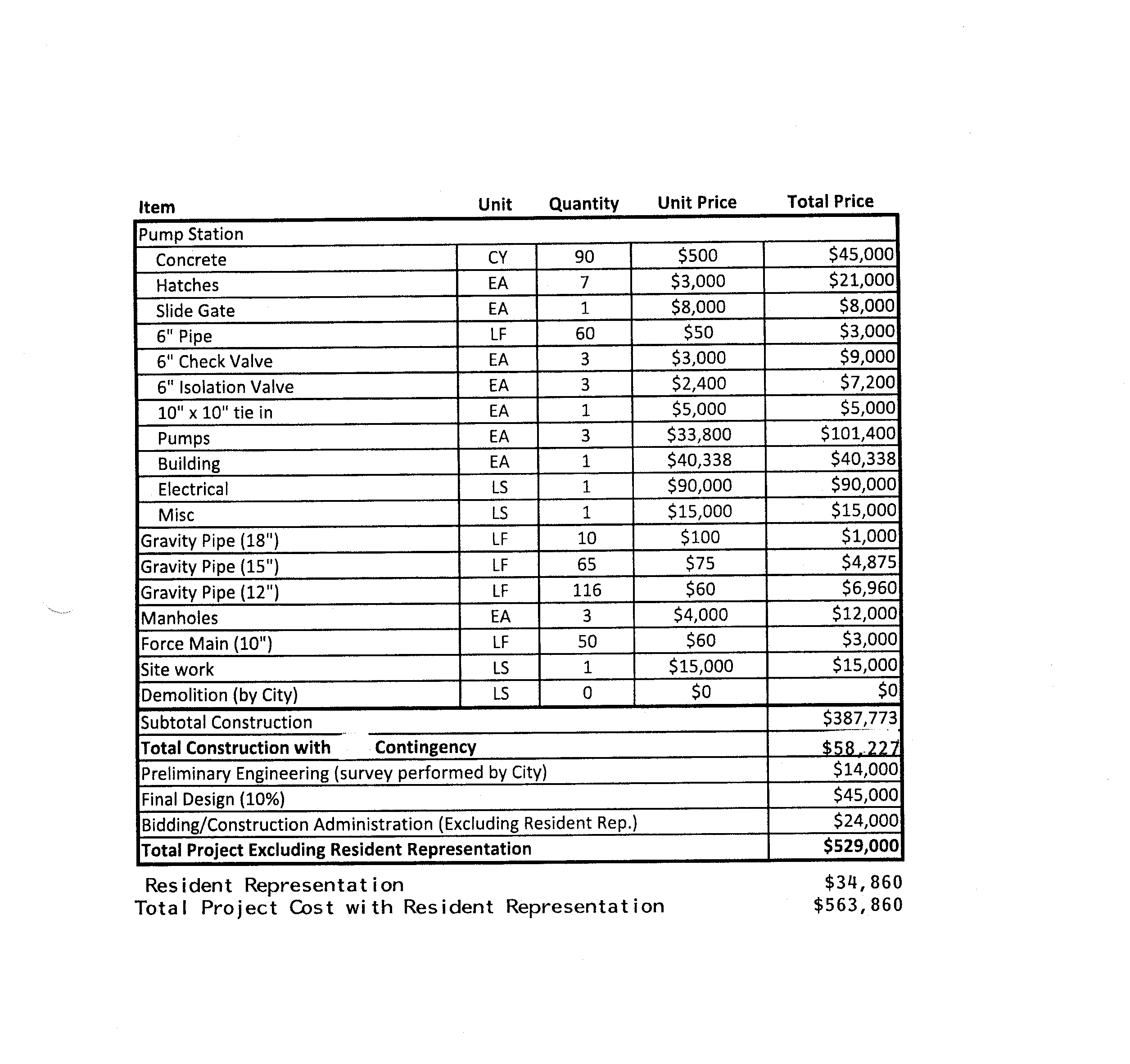
What percentage of households within the utilities service area/boundaries will be served upon completion of the project?

      %\_\_\_\_\_\_\_\_\_

*(This is a* ***SAMPLE*** *and is not all inclusive)*

***CHECK MATH and AGAINST COST SUMMARY***

***Insert this page behind the Cost Summary***



**INSTRUCTIONS**

This form is used to define your community’s overall housing and community development needs. All questions in each category must be answered even if your project is not designed to specifically address that category. All questions must be answered in respect to the entire jurisdiction of the applicant(s), not just the project area.

1. **ECONOMIC DEVELOPMENT**
2. Describe the overall economic development needs.

|  |
| --- |
|  |

Source/Rationale

|  |
| --- |
|  |

1. Describe the overall economic development needs specific to LMI residents.

|  |
| --- |
|  |

Source/Rationale

|  |
| --- |
|  |

1. Describe the community’s goals (methods for meeting needs) projected for three years.

|  |
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1. Describe the relationship of the proposed project to the stated economic development goals.

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| --- |
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1. **HOUSING**
2. Describe the overall housing needs.

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| --- |
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Source/Rationale

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| --- |
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1. Describe the overall housing needs specific to LMI residents.

|  |
| --- |
|  |

Source/Rationale

|  |
| --- |
|  |

1. Describe the community’s goals (methods for meeting needs) projected for three years.

|  |
| --- |
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1. Describe the relationship of the proposed project to the stated housing goals.

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1. **PUBLIC FACILITIES**
2. Describe the overall public facility needs.

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Source/Rationale

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1. Describe the overall public facilities needs specific to LMI residents.

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Source/Rationale

|  |
| --- |
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1. Describe the community’s goals (methods for meeting needs) projected for three years.

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1. Describe the relationship of the proposed project to the stated public facilities goals.

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Form Approved

OMB No.2506-0043

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| U. S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT  INSTRUCTIONS FOR COMPLIANCE WITH TITLE VI  OF THE CIVIL RIGHTS ACT OF 1964  Title VI of the Civil Rights Act of 1964 states  “No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.”  Section 1.4(b) (2) (i) of the regulations of the Department of Housing and Urban Development issued pursuant to Title VI requires that:  “A recipient, in determining the types of housing, accommodations, facilities, services, financial aid, or other benefits which will be provided under any such program or activity, or the class of persons to whom, or the situations in which, such housing, accommodations, facilities, services, financial aid, or other benefits will be provided under any such program or activity, or the class of persons to be afforded an opportunity to participate in any such program or activity, may not, directly or through contractual or other arrangements, utilize criteria or other methods of administration which have the effect of subjecting persons to discrimination because of their race, color, or national origin, or have the effect of defeating or substantially impairing accomplishment of the objectives of the program or activity as respect to persons of a particular race, color, or national origin.”  As evidence of compliance with the above, the applicant shall provide the information as requested in a, b, c, and/or d below, as appropriate, to supplement the data relative to the locations of concentration of minority groups and proposed activities shown on the map submitted as part of the application. Additional pages should be used, if necessary. If there are no minorities in the community, check here  and disregard questions a through d. |
| 1. IDENTIFY THE MINORITY GROUP(S) POPULATION OR PORTION THEREOF, RESIDING IN THE APPLICANT’S JURISDICTION THAT WILL NOT BE SERVICED BY ONE OR MORE OF THE PROPOSED ACTIVITIES   HUD-7089(6-78)  Page 1 of 2 pages |

|  |
| --- |
| 1. EXPLAIN WHETHER THE MINORITY GROUP POPULATION, OR PORTION THEREOF, NOT SERVICED BY THE PROPOSED ACTIVITY (IES) ALREADY RECEIVES SUCH SERVICE. IF SO, DEFINE THE EXTENT OF EACH OF THESE EXISTING SERVICES AND INDICATE WHETHER THEY ARE EQUAL TO, GREATER THAN OR LESS THAN THE PROPOSED ACTIVITY(IES) RELATIVE TO THE LEVEL AND QUALITY OF SERVICES TO BE PROVIDED. |
| 1. IF THE MINORITY GROUP POPULATION, OR PORTION THEREOF, DOES NOT RECEIVE SUCH SERVICE(S) NOW AND WILL NOT RECEIVE THE BENEFIT OF THE PROPOSED ACTIVITY(IES), INDICATE THE APPROPRIATE TIME SUCH SERVICE(S) WILL BE PROVIDED TO SUCH RESIDENTS. |
| 1. IN THE EVENT NO FUTURE SERVICE(S) IS PLANNED FOR THE MINORITY GROUP POPULATION OR PORTION THEREOF, PROVIDE A STATEMENT OF THE REASONS WHY. |
| The phrase “minority group” as used herein, refers to Black, not of Hispanic Origin; Hispanic (a person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture regardless of race); Asian or Pacific Islander; American Indian or Alaska Native.  Signature, Chief Executive Officer  HUD-7089(6-78)  Page 2 of 2 pages |

**Statement of Assurances**

The applicant hereby assures and certifies that:

(a) It possesses legal authority to apply for the grant, and to execute the proposed program, shall abide by all federal and state laws, executive orders, and regulations, including, but not limited to, those items listed in this section.

(b) Its governing body has duly adopted or passed as an official act a resolution, motion or similar action authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the applicant's chief executive officer to act in connection with the application and to provide such additional information as may be required.

(c) It has complied with all the requirements of Executive Order 12372 and that either:

(1) Any comments and recommendations made by or through clearinghouses are attached and have been considered prior to submission of the application; or

(2) The required procedures have been followed and no comments or recommendations have been received prior to submission of the application.

(d) It will facilitate citizen participation.

(1) Providing adequate notices for one or more public hearings, specifically to persons of low and moderate income;

(2) Holding one or more hearings at times and locations convenient to potential beneficiaries, convenient to the handicapped, and meeting needs of non-English speaking residents;

(3) Providing citizens information concerning the amount of funds available for proposed community development activities and the range of those activities;

(4) Providing citizens with information concerning the estimated amount of funds that will benefit persons of low and moderate income;

(5) Furnishing citizens with the plans made to minimize the displacement of persons and to assist persons actually displaced as a result of grant activities;

(6) Providing citizens with reasonable notice of substantial changes proposed in the use of grant funds and providing opportunity for public comment;

(7) Providing citizens with reasonable access to records regarding the past use of CDBG funds received; and

(e) It will comply with the regulations, policies, guidelines and requirements of OMB Super Circular and the "Common Rule," 24 CFR, Part 85 as they relate to the application, acceptance, and use of Federal funds under this document.

(f) It will comply with:

(1) Section 110 of the Housing and Community Development Act of 1974, as amended, 24 CFR 570.603, and State regulations regarding the administration and enforcement of labor standards;

(2) The provisions of the Davis-Bacon Act (40 U.S.C. S 276a-5) with respect to prevailing wage rates;

(3) Contract Work Hours and Safety Standards Act of 1962, 40 U.S.C. 327 et. seq., requiring that mechanics and laborers (including watchmen and guards) employed on federally assisted contracts be paid wages of not less than one and one-half times their basic wage rates for all hours worked in excess of forty in a work-week;

(4) Federal Fair Labor Standards Act, 29 U.S.C.S 102/et. seq., requiring that covered employees be paid at least the minimum prescribed wage, and also that they be paid one and one-half times their basic wage rate for all hours worked in excess of the prescribed work-week;

(5) Anti-Kickback (Copeland) Act of 1934, 18 U.S.C.S 874 and 40 U.S.C.S 276c, which outlaws and prescribes penalties for "kickbacks" of wages in federally financed or assisted construction activities; and

(6) KRS 337, with respect to Kentucky Prevailing Wage Rates and labor standards.

(g) It will comply with all requirements imposed by the State concerning special requirements of law, program requirements, and other administrative requirements.

(h) It will comply with:

Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352), and the regulations issued pursuant thereto (24 CFR Part 1), which provides that no person in the United States shall on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this assurance. If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the applicant, this assurance shall obligate the applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended, or for another purpose involving the provision of similar services or benefits;

(i) It will to the greatest extent practicable under State law, comply with Sections 301 and 302 of Title III (Uniform Real Property Acquisition Policy) of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended with the final rule published February 3, 2005, and will comply with Sections 303 and 304 of Title III, and HUD implementing instructions at 24 CFR Part 42.

(j) It will:

1. Comply with Title II (Uniform Relocation Assistance) of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and HUD implementing regulations at 24 CFR Part 42 and 24 CFR 570.606;

(2) Provide relocation payments and offer relocation assistance as described in the Uniform Relocation Assistance Act of 1970, as amended, to all persons displaced as a result of acquisition of real property for an activity assisted under the Community Development Block Grant program. Such payments and assistance shall be provided in a fair and consistent and equitable manner that insures that the relocation process does not result in different or separate treatment of such persons on account of race, color, religion, national origin, sex, or source of income; and

(3) Provide for reasonable benefits to any person involuntarily and permanently displaced as a result of the use of grant funds to acquire or substantially rehabilitate property.

(k) It will comply with the provisions of the Hatch Act that limits the political activity of employees.

(l) It will give the State, HUD and the Comptroller General, through any authorized representatives, access to and the right to examine all records, books, papers, or documents related to the grant.

(m) Its chief executive officer or other officer of applicant approved by the State:

1. Consents to assume the status of a responsible Federal official under the National Environmental Policy Act of 1969 (NEPA) (42 U.S.C. S 4321 et. seq.) and other provisions of Federal law, as specified in 24 CFR Part 58, which furthers the purposes of NEPA, insofar as the provisions of such Federal law apply to the Kentucky Community Development Block Grant Program; and

(2) Is authorized and consents on behalf of the applicant and himself to accept the jurisdiction of the Federal courts for the purpose of enforcement of his responsibilities as such an official.

(n) It will comply with:

(1) The National Environmental Policy Act of 1969 (42 U.S.C. S 4321 et. seq.) and 24 CFR Part 58, and in connection with its performance of environmental assessments under the National Environmental Policy Act of 1969, comply with Section 106 of the National Historic Preservation Act of 1966 (16 U.S.C. 468), Executive Order 11593, and the Preservation of Archeological and Historical Data Act of 1974 (16 U.S.C. 469a-1, et. seq.) by:

1. Consulting with the State Historic Preservation Officer to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the proposed activity; and

(b) Complying with all requirements established by the State to avoid or mitigate adverse effects upon such properties.

1. Executive Order 11988, Floodplain Management;

(3) Executive Order 11990, Protection of Wetlands;

(4) Section 202(a) of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4106) as it relates to the mandatory purchase of flood insurance for identified special flood hazard areas;

(5) The Endangered Species Act of 1973, as amended;

* 1. The Fish and Wildlife Coordination Act of 1958, as amended;

(7) The Wild and Scenic Rivers Act of 1968, as amended;

(8) The Safe Drinking Water Act of 1974, as amended;

(9) The Clean Air Act of 1970, as amended;

1. The Federal Water Pollution Control Act of 1972, as amended;

(11) The Clean Water Act of 1977; and

(12) The Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976.

(o) It will comply with 24 CFR Part 570.489(j) concerning the change of use of real property purchased or improved in whole or in part with CDBG funds.

(p) It will comply with all provisions of Title I of the Housing and Community Development Act of 1974, as amended, as well as with all other applicable State and Federal laws which have not been cited previously.

The applicant hereby certifies that it will comply with the above stated assurances.

Signature, Chief Executive Officer

Name (typed or printed)

Title

Date