

**STATE OF WISCONSIN**  
Department of Administration



**Community Development Block Grant –  
Economic Development (CDBG–ED) Program**

**APPLICATION PACKET**

This application packet may be accessed at the Bureau of Community Development- Economic Development section on the Division of Housing, Energy, and Community Resources website at <https://energyandhousing.wi.gov/Pages/AgencyResources/CDBG-ED.aspx>. The electronic version on the website is the most recent version, and is the only official version, of the document. Revisions are made periodically. Users should only reference the official version of the document.

## **CDBG PROGRAM CONTACT INFORMATION**

Wisconsin Department of Administration  
Division of Housing, Energy, and Community Resources  
Bureau of Community Development  
101 E. Wilson St.  
Madison, WI 53703\*

Division Administrator  
Wisconsin Department of Administration  
Division of Energy, Housing, and Community Resources  
(608) 266-7531

Tamra Fabian, Bureau Director  
Wisconsin Department of Administration  
Division of Housing, Energy, and Community Resources  
Bureau of Community Development  
(608) 261-7747

**Email inquiries and submit applications to:**  
**[DOACDBG@wisconsin.gov](mailto:DOACDBG@wisconsin.gov)**

***\*CDBG-ED Applications must be emailed. Mailed applications will not be accepted.***

***Pages 5-17 of this application packet document may be removed  
when the applicant is completing the CDBG-ED Application for their project.***

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## INTRODUCTION

### What is CDBG?

The Community Development Block Grant (CDBG) program is a federal formula-allocated grant program administered by the U.S. Department of Housing and Urban Development (HUD). The program was created when Congress passed the Housing and Community Development Act, Title 1 in 1974 and it is governed by the rules set forth in the Code of Federal Regulations [24 CFR 570].

The CDBG program consists of two components: One, an “entitlement program” under which HUD provides funding directly to urban counties with populations of at least 200,000; cities with populations of at least 50,000; and principal cities of Metropolitan Statistical Areas, and two, a “state-administered program” under which HUD provides CDBG funds to States to distribute to non-entitlement communities. The Department of Administration (DOA) – Division of Housing, Energy, and Community Resources (DEHCR) is responsible for administering Wisconsin’s State-Administered CDBG Program.

The primary purpose of the CDBG program is the development of viable communities through the provision of decent housing, a suitable living environment, and the expansion of economic opportunities, principally for the benefit of persons of low and moderate income (LMI).

### Wisconsin CDBG-Economic Development Program

The Wisconsin CDBG-Economic Development (CDBG-ED) program is designed to stimulate economic development activity by assisting the private sector to create and/or retain jobs for LMI persons primarily through forgivable loans to businesses. Funds are awarded to Units of General Local Government (UGLGs) that award the funds to businesses in the form of forgivable loans to support economic development initiatives in under-served areas.

Efforts will be extended to insure maximum state coverage of CDBG-ED program resources. Emphasis shall also be placed on enhancing local capacity building and on integrating CDBG program resources as opportunities and situations arise in disadvantaged and under-served areas. Funds will be made available to UGLGs through an on-going application process for:

- Local governments for loans to businesses in order to create or retain jobs;
- Local governments for awards to businesses for training needs;
- Local governments for awards to businesses for capital investment or new technologies.

An economic development application is composed of two parts; community information and company information. However, all CDBG-ED applications **must** be submitted by an UGLG, including information and documentation from the company that is the intended beneficiary of the requested CDBG-ED assistance.

Applications for the CDBG-ED program are accepted on a continual basis. Applications will be reviewed by DEHCR staff and awarded based on eligibility.

## CDBG-ED PROGRAM

### Eligibility

In order to be eligible for funding through the CDBG-ED program, an applicant must meet the following eligibility criteria:

#### 1) APPLICANT

The applicant must be a non-entitlement Unit of General Local Government (UGLG), even if a private company will be the principal beneficiary. UGLGs may apply for multiple CDBG-ED projects in one program year.

#### 2) PROGRAM GOALS.

The proposed project must be consistent with at least one of the State's CDBG program goals, which are expressed in the Annual Action Plan and include the following:

- Encourage business investment that supports job creation through expansion;
- Foster new businesses that result in job creation;
- Assist businesses that are considering closing or reducing employment levels to be able to retain those positions;
- Support job training and skill development;
- Promote entrepreneurial development and small business start-ups;
- Support incubators and microenterprises;
- Support regional economic development strategies;
- Respond to urgent local needs such as man-made or natural disasters that have county-wide impact.

Wisconsin's Annual Action Plan Summary is available on DOA – DEHCR's *Consolidated Plan* website at:

<https://energyandhousing.wi.gov/Pages/Consolidated-Plan.aspx>

#### 3) ELIGIBLE ACTIVITIES

CDBG Funds will be granted to communities to support economic development activities to promote business expansion and job creation. These activities include:

- Constructing, reconstructing, rehabilitating, and/or acquiring buildings
- Purchasing equipment
- Acquiring property
- Job training

#### 4) PROHIBITION ON JOB PIRATING

- Pursuant to section 588 of the Quality Housing and Work Responsibility Act, Section 105(h) of the federal Housing and Community Development Act prohibits "job pirating" or the use of CDBG funds to "assist directly in the relocation of any industrial or commercial plant, facility, or operation, from one area to another area if the relocation is likely to result in a significant loss of employment in the labor market area (LMA) from which the relocation occurs."

- The Bureau of Labor Statistics (BLS) defines an LMA as area in which individuals can live and find employment within a reasonable distance or can readily change jobs without changing their place of residence. A listing of LMAs within the U.S. can be found at:  
<https://www.bls.gov/lau/laufaq.htm#Q06>
- Federal regulations set the following parameters for a company's relocation from one LMA to another, and whether the number of jobs being lost will trigger the anti-pirating provisions:
  - The loss of 25 jobs or less from the LMA where the company is currently located does not trigger the anti-pirating regulation and is not viewed as significant loss of employment.
  - A loss of 500 jobs or more is considered significant and would automatically invoke the anti-pirating provisions.
  - Job losses ranging from over 25 – 500 jobs must be less than 0.1 percent of the total jobs in the LMA that is losing jobs. If the job loss is less than 0.1 percent, the anti-pirating regulation would not be triggered.
  - Involuntary relocations, meaning those businesses forced to relocate as a result of some government action covered under the Uniform Relocation Act (URA), are excluded from the anti-pirating regulation.
  - Job relocation within the same LMA is not subject to the anti-pirating regulation.
- Under CDBG regulations [24 CFR 570.482(h)], before a community can provide a business with CDBG funds, it must sign an agreement with the assisted business that includes the following:
  - A statement from the business indicating whether the assistance will result in the relocation of any industrial or commercial plant facility from one LMA to another, and if so, the number of jobs that will be relocated from each LMA;
  - If the assistance will not result in relocation, a certification from the business stating that, at the time the agreement is signed, neither the business nor any of its subsidiaries has plans to relocate jobs that would result in significant job loss; and
  - A provision for full reimbursement in the event that the assistance results in a relocation prohibited by the regulation.

## 5) PREVIOUS CDBG ASSISTANCE

CDBG-ED applications will not be considered if there are any outstanding or unresolved instances of non-compliance associated with prior CDBG awards, including non-compliance related to administrative, financial management, underwriting, recordkeeping, reporting, auditing, closeout, payment, reimbursement or other requirements.

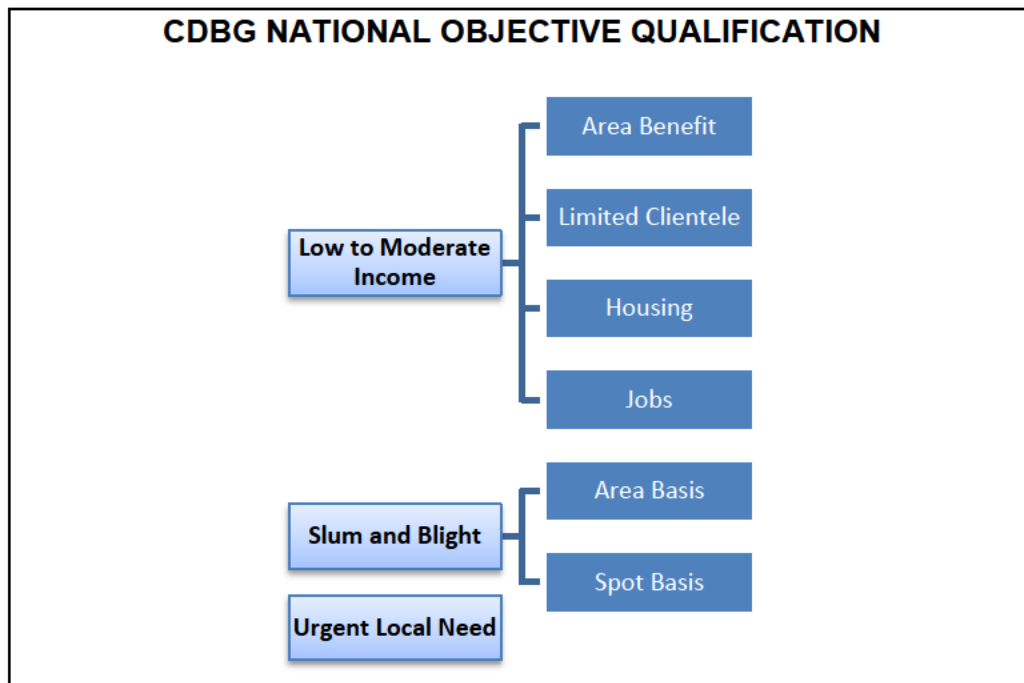
DEHCR will also continue to evaluate projects' feasibility after awards are made. Successful applicants will be required to submit semi-annual project performance reports to DEHCR as part of the project grant agreement and will be monitored at least once during the contract period by a Grants Specialist from DEHCR's Bureau of Community Development.

### Meeting a National Objective

1) OVERVIEW. In order to be eligible for funding through the CDBG-ED program, the proposed project must meet at least one of three national objectives as required by HUD in 24 CFR 570.483:

- Benefitting low and moderate income (LMI) persons;
- Preventing or eliminating slums or blight; or
- Meeting an urgent local need that poses a serious and immediate threat to the health or safety of the community and for which other financial resources are not available.

The following diagram depicts the different categories associated with each of the national objectives:



To ensure the CDBG program principally benefits LMI persons, federal regulations require that at least 70 percent of funds address this objective.

2) WISCONSIN CDBG-ED PROGRAM PRIORITIES. The primary purpose of Wisconsin’s CDBG-ED program is to help facilitate job creation and/or retention for LMI individuals. Funding will be directed to projects that meet Wisconsin’s CDBG-ED program goals and create and expand economic opportunities in our communities, focusing on both workers and businesses.

3) LMI BENEFIT NATIONAL OBJECTIVE. To be eligible for CDBG-ED assistance under the LMI-Jobs national objective, the applicant must demonstrate that a minimum of 51% of the jobs to be directly created or retained by an economic development project will be held by or made available to qualified LMI persons as described in Title 42 Chapter 69 of the Act.

In accordance with 24 CFR 570.482(h), before directly assisting a business with CDBG funds, the UGLG is required to sign a written agreement with the assisted business acknowledging compliance with job pirating regulations. The written agreement shall include:



**(i) Statement.** A statement from the assisted business as to whether the assisted activity will result in the relocation of any industrial or commercial plant, facility, or operation from one labor market area (LMA) to another and, if so, the number of jobs that will be relocated from each LMA;

**(ii) Required certification.** If the assistance will not result in a relocation covered by this section, a certification from the assisted business that neither it, nor any of its subsidiaries, has plans to relocate jobs at the time the agreement is signed that would result in a significant job loss as defined in this rule; and

**(iii) Reimbursement of assistance.** The agreement shall provide for reimbursement to the [recipient](#) of any assistance provided to, or expended on behalf of, the business in the event that assistance results in a relocation prohibited under this section.

**While it is the responsibility of the business to maintain employment verification records, the UGLG is the recipient of the CDBG award and therefore is ultimately accountable for the project.** If it is determined that the business has failed to fulfill any portion of the contractual agreement, the business and/or UGLG may be asked to return the full award back to the State. Economic development projects that do not meet a national objective based on the jobs actually created and/or retained will result in a full repayment of the award.

Because job creation projects are measured for a national objective at the end of the performance period, it is critical that the business and UGLG maintain thorough records that document the number and LMI status of jobs created or retained in order for the project to remain eligible by complying with the LMI-Jobs national objective standards. It is the responsibility of the assisted business to acquire LMI information for all applicants and current employees that are beneficiaries of CDBG funds. These records must be reported on time and at regular intervals per the grant agreement and maintained by the UGLG for a minimum of 3 years after the State has closed out the program year. Please be aware that submitting project closeout documents to the State DOES NOT mean that the project has been closed out. Completed projects will be reviewed by the Division of Housing, Energy, and Community Resources (DEHCR) to ensure that all contractual requirements have been met and analyzed by HUD to ensure that a national objective and all other federal requirements have been met. After a final project review, DEHCR will issue a closeout letter to the UGLG approving the closeout of the project.

## Program Requirements

### 1) AWARD LIMITS

- The maximum total award for a CDBG-ED project is \$1,000,000
- The maximum award per job created or retained is typically \$7,000-\$10,000 per job, however the amount of funds awarded per job is at the discretion of DEHCR.

### 2) MATCH REQUIREMENTS

The assisted business must demonstrate a match investment of at least 50 percent of the total project cost (i.e. a minimum 1:1 leverage ratio). Match funds may include bank loans, loans to be repaid to other state or federal programs, grants from state or local partners, or new business investments. The following will not be considered as match by DEHCR:

- In-kind contributions or services
- Existing assets
- Existing equity
- Projected operating cash flow
- Existing Line of Credit (LOC)

### 3) BUSINESS SCREENING

In addition to the financial review, the following business screening items will be considered by the review committee:

- **Background Checks:** DEHCR has established requirements to ensure that funds awarded are not provided to any person that has been convicted of a criminal offense or held liable in civil proceedings that negatively reflects on the business integrity of the person based on a finding of embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property, or violation of state or federal antitrust statutes, or as otherwise required by law. Any business or individuals benefitting from CDBG funds will be subject to background check.
- **Suspensions and Debarments:** HUD's Departmental Enforcement Center pursues suspension and debarment actions that result in the exclusion of a sanctioned party from further participation in HUD procurement and non-procurement programs and other Federal Government programs. Suspensions and debarments are not punitive measures but are part of a government-wide administrative sanctions initiative to ensure the highest standards of professional conduct and ethical business practices by the Federal Government's business partners. Suspensions are generally enacted after an indictment is issued. Debarments are generally issued after a criminal conviction or when serious program violations are detected.

The System for Award Management (SAM) is the official U.S. Government system database of individuals, organizations, and affiliates excluded from conducting business with any Federal Agency. Before a project is recommended to DEHCR, the grantee must verify that any business benefitting from the project is not suspended or debarred from federal funding. Any contractor or consultants associated with the project, after the signing of the grant agreement, must also be verified as they are selected. An online records search can be conducted on SAM.gov [<https://sam.gov/entity-information>].

- **Loan Contracts:** DEHCR will require Loan Contracts between the UGLG and business to be executed with the CDBG Grant Agreement. Grantees (either the UGLG or the UGLG/non-profit organization) will obtain loan security (in the form of liens, guarantees, mortgages, etc.) for the performance of obligations, and must maintain appropriate levels of security. DEHCR is not a party to the Loan Contract(s) between the grantee(s) and business, however UGLGs must ensure that the business is aware that the loan contracts obliges **all** parties (UGLG and the business) to DEHCR Grant Agreement terms and conditions, including but not limited to position creation or retention requirements. At any point in time, if the grantee(s) does not fulfill the responsibilities of the Loan Contract, DEHCR may intervene and protect its rights and interests.

### 4) MAXIMUM PROJECT PERIOD

Project activities must usually be completed within twenty-four (24) months from the date the funding is awarded. The maximum time permitted to create jobs is two (2) years from the date the funding is awarded. Funds not disbursed within the specified time limit may be recaptured by

DEHCR for reallocation to another eligible CDBG project. All grant agreements will incorporate timelines to assure the project is on track to have successful completion within the grant term.

DEHCR may make exceptions to grant/loan amount limits and project periods based on the significance of the project's impact on the community and the economy, the number of positions created, the needs of the community, level of benefits to LMI people, and other considerations permitted under federal law. Exceptions must be approved by the Division Administrator and will be considered as part of the funding decision on a case by case and circumstance by circumstance basis.

- 5) **PRIOR CDBG ASSISTANCE.** CDBG-ED applications will not be considered if there are any outstanding or unresolved instances of non-compliance associated with prior CDBG awards, including non-compliance related to administrative, underwriting, recordkeeping, reporting, auditing, closeout, payment, reimbursement or other requirements.

### **Other Federal Requirements**

- 1) **FAIR HOUSING.** Per 24 CFR 570.487(b), recipients of any CDBG funds must take action to affirmatively further fair housing during the contract period.

DEHCR's "Potential Fair Housing Action" form is included as Exhibit 6 of the CDBG-ED Application. This form must indicate the actions that will be taken to affirmatively further fair housing and must be submitted with the application materials. If the project is funded, the selected actions will be included in the CDBG Agreement timetable and implementation is required.

- 2) **LABOR STANDARDS (DAVIS-BACON).** Federal labor standards requirements (also known as "Davis-Bacon") apply to projects for which construction related labor exceeds \$2,000. If your project is funded, your contract will require you to comply with Davis-Bacon requirements, including (but not limited to):

- Obtaining wage decisions for use in the project;
- Including federal labor standards provisions in bid and contract documents; and
- Monitoring contractors for compliance with wage rates and collecting restitution from contractors that violate wage requirements.

Recipients of CDBG funds whose projects are subject to Davis-Bacon requirements are required to submit semi-annual labor standards enforcement reports to your project representative in DEHCR. If funded, your project representative at DEHCR will provide you with additional information on labor standards requirements.

- 3) **CITIZEN PARTICIPATION.** Regulations require that local governments provide citizens with advance notice of and opportunity to comment on proposed activities in an application to the State for CDBG assistance. Citizen participation is required in the planning and administration of CDBG projects. All CDBG applicants must prepare and implement a written Citizen Participation Plan as specified in Section 104 (a)(3) of the Housing and Community Development Act of 1974 as amended. All CDBG-ED applicants must demonstrate compliance with federal citizen participation requirements at the time of application. Applicants that do not include documentation of citizen participation as part of their application materials will be determined ineligible for CDBG funding.

A CDBG grant may be made only if the applicant certifies that it has established and is following such a plan. The Citizen Participation Plan must include, at a minimum, the elements listed below:

- A. Provision for and encouragement of citizen participation, with particular emphasis on participation by persons of low- and moderate-income (LMI) who are residents of target area neighborhoods in which the CDBG funds are proposed to be used.

The applicant must meet this requirement by doing **at least one** of the following:

1. Establish a committee composed of individuals who are representative of the community's demographics. This committee shall include at least one LMI person and one resident of the designated target area. This committee will assume the responsibility for coordinating all required elements of the Citizen Participation Plan. All committee members must be residents of the community.
  2. Distribution of timely notification of all required meetings to 100 percent of the designated target area or neighborhood. Applicants not having a target area, must design a notification system which will reach a majority of the community's LMI population. All notifications of meetings and available assistance must be worded in such a way as to encourage LMI participation.
- B. Provision to citizens of reasonable and timely access to local meetings, information, and records relating to the applicant's proposed and actual use of funds.

To meet this requirement, the applicant must:

1. Attempt to have at least one of the public hearings in the target area; **and**
  2. Notify the community of upcoming meetings **not less than two (2) weeks/fourteen (14) days or a class 2 notice (depending on the option selected in the Citizen Participation Plan Template)** prior to the meeting; **and**
  3. In all meeting announcements, include where, and during what hours, information and records relating to the proposed and actual use of funds may be found.
- C. Provision for technical assistance to groups representative of LMI households that request such assistance in developing proposals with the level and type of assistance to be determined by the applicant.

To meet this requirement, the applicant must include in the adopted Citizen Participation Plan:

1. The type of assistance generally available; and
  2. The procedure used to request the assistance.
- D. Provision for public hearings to obtain citizen views and to respond to proposals and questions at all stages of the community development program, including at least:
1. The identification and development of housing, public facility and economic development needs;
  2. The review of proposed activities; and

3. The review of program performance (for which hearings shall be held after adequate public notice, at times and locations convenient to potential or actual beneficiaries, and with accommodation for the handicapped).
- E. Provision of timely written answers to written complaints and grievances within 15 working days where practical.

To meet this requirement, the applicant must:

1. Include the complaint/grievance procedure steps in the Citizen Participation Plan; and
  2. Develop a procedure to ensure compliance with the 15 working day response time.
- F. Identify how the needs of non-English speaking (including the hearing impaired) will be met in the case of public hearings where a significant number of non-English speaking residents reasonably can be expected to participate.

To meet this requirement, the applicant must:

1. Identify all non-English speaking populations in the community (regardless of American or Wisconsin citizenship) and make a determination of their special needs.
2. Include evidence in the Citizen Participation Plan that the community has conducted a review of this matter consistent with the Housing and Community Development Act of 1974 as amended.

24 CFR 570.486 (5)

*“There must be reasonable notice of the hearings and they must be held at times and locations convenient to potential or actual beneficiaries, with accommodations for the handicapped. Public hearings shall be conducted in a manner to meet the needs of non-English speaking residents where a significant number of non-English speaking residents can reasonably be expected to participate.”*

Citizen Participation documents to be submitted by applicants include:\*

- A copy of the Applicant’s Citizen Participation Plan (signed or accompanied by a copy of the adopting resolution);
- A copy of the Public Hearing Notice(s) as published in the local newspaper or posted in accordance with the specifications of the Citizen Participation Plan as eligible, per guidance in Chapter 6 of the [CDBG Implementation Handbook](#);
- A completed Citizen Participation Certification;
- the meeting minutes from the Public Hearing; and
- A copy of the sign-in sheet(s) from the Public Hearing(s) (if a list of all attendees is not in the hearing minutes).

In addition to documentation of citizen participation, all CDBG–ED applicants must submit an *Authorizing Resolution to Submit the CDBG Application and Certification of Matching Funds* form, a resolution signed by the Chief Elected Official (CEO) of their Unit of General Local Government (UGLG) that is requesting the funds.

**\*Samples and templates for the documents listed above are available on the DEHCR Bureau of Community Development's Resources and Trainings website:**

<https://energyandhousing.wi.gov/Pages/AgencyResources/CDBG-Resources.aspx>

- 4) ENVIRONMENTAL REVIEW. Environmental Review applies to **every CDBG project**. Regulations governing *Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities* can be found in 24 CFR 58, which is available via the following link:  
[http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&SID=d4966c17222ec9dc63a434ad9599aa6c&rqn=div5&view=text&node=24:1.1.1.1.33&idn\\_o=24](http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&SID=d4966c17222ec9dc63a434ad9599aa6c&rqn=div5&view=text&node=24:1.1.1.1.33&idn_o=24).

Also refer to *Chapter 4: Environmental Review* of the State of Wisconsin's *CDBG Implementation Handbook* at:

<https://energyandhousing.wi.gov/Pages/AgencyResources/CDBG-Implementation-Handbook.aspx>.

The type of review required, and the amount of time it will take, can vary depending on the nature of the project. The review, and the amount of work required to complete it, may impact project scheduling.

At the completion of the environmental review process, DEHCR will issue an environmental clearance letter. In addition, please note:

- An UGLG may not commit any HUD assistance funds or non-HUD funds until an award has been made and the environmental review has been completed. Exceptions may be granted for pre-award costs if approved by DEHCR in advance; and
- DEHCR cannot release funds until the environmental review process is complete and an award and contract are in place.

- 5) RESIDENTIAL ANTI-DISPLACEMENT AND RELOCATION PLAN (RADRAP) – To be eligible for CDBG funding, all applicants must have and submit with this application a Residential Anti-Displacement and Relocation Plan, regardless of whether your project includes acquisition and/or relocation or not. A *RADRAP template* is available on the [Bureau of Community Development – Resources and Technical Assistance website](#) (under “Application Attachments”).
- 6) PROPERTY MANAGEMENT AND DISPOSITION. If CDBG funds are used to acquire real or personal property, federal regulations require that the property continues to be used for its intended (and approved) purpose. Federal property management requirements apply to real property within the UGLGs control acquired or improved in whole or in part using more than \$25,000 of CDBG funds. These requirements apply from the date CDBG funds are first spent for the property until five years after closeout of the grant from which the assistance to the property was provided.

For UGLGs, the use of real property is governed by 24 CFR 570.505. For real property acquired or improved in whole or in part with CDBG funds in excess of \$25,000, the grantee cannot change the use or planned use of the property (including the beneficiaries of such use) without first providing affected citizens notice and opportunity to comment, and determining that either:

- a) The contemplated new use meets one of the national objectives and is not a building for the general conduct of government, or

- b) The contemplated new use is deemed appropriate (after consultation with affected citizens) but will not meet a national objective. In this latter case, the grantee must reimburse the CDBG program in the amount of the current fair market value of the property, less the value attributable to the non-CDBG portion of the acquisition or improvements.

Also refer to *Chapter 5: Acquisition and Relocation* of the State of Wisconsin's *CDBG Implementation Handbook* at:

<https://energyandhousing.wi.gov/Pages/AgencyResources/CDBG-Implementation-Handbook.aspx>.

- 7) SECTION 3. All CDBG projects are subject to Section 3 of the Housing and Community Development Act of 1974 that includes requirements for promoting and providing job and contracting opportunities for Section 3 (low- to moderate-income [LMI]) workers and businesses. A Section 3 Business Concern Form must be collected from all businesses creating and/or retaining jobs and contractors that work on the CDBG project. Refer to the Attachments in this application form. *Access the Attachment 9-L: Section 3 Business Concern Certification Form on the [CDBG Implementation Handbook](#) website. Refer to Attachment 6-B(2): Section 3 Contract Requirements, Chapter 6, and Chapter 9 of the [CDBG Implementation Handbook](#) for guidance and requirement for Section 3 compliance.*
- 8) AUDIT. In accordance with 2 CFR 200, non-federal entities that expend \$750,000 or more in federal funding in any one year must undergo a Single Audit.

## Application and Selection Process

The federal CDBG guidelines, as applied, are summarized as follows:

1. Project costs must be reasonable, not excessive, and must be supported by cost analyses. Transactions must be carried out through arms-length transactions, not insider arrangements.
2. All proposed sources of financing necessary to carry out the project must be committed. This ensures that funds are not awarded to projects that are not in a position to proceed to project completion within a reasonable time. To fulfill this requirement, DEHCR requires a written verification affirming the various funding parties' intentions to make funds available, and, depending on the nature of the funding party, a showing of their capacity to actually provide such funds.
3. CDBG funds are not to be substituted for other funds. This standard requires a financial underwriting analysis of the project. The level of analysis will vary with the nature and complexity of the project. Since projects in this category provide financing for for-profit businesses, appropriate levels of private source financing (e.g., bank loans) are expected to be present, and equity participation in the project must be sufficient given the financial capacity of those owning the enterprise.
4. Financial feasibility of the project. The public benefit expected from the investment of CDBG funds is the creation and maintenance of LMI jobs. That benefit will not materialize if the project is not financially feasible.
5. Avoidance of providing an unreasonable return on investment to the owner of the project. The availability of non-interest bearing loans and forgivable loans to for-profit businesses presents a potential for this to occur which must be addressed in analyzing, and in judging the merits of, each project.
6. CDBG funds should be disbursed on a pro rata basis with other project funding sources. CDBG money should not be the first money into a project, but rather should flow into a project in



proportion to other project funding sources. CDBG-funded activities should not be completed prior to activities funded by match funds to ensure that matching funds are spent concurrently with, and in proportion to, the CDBG funds.

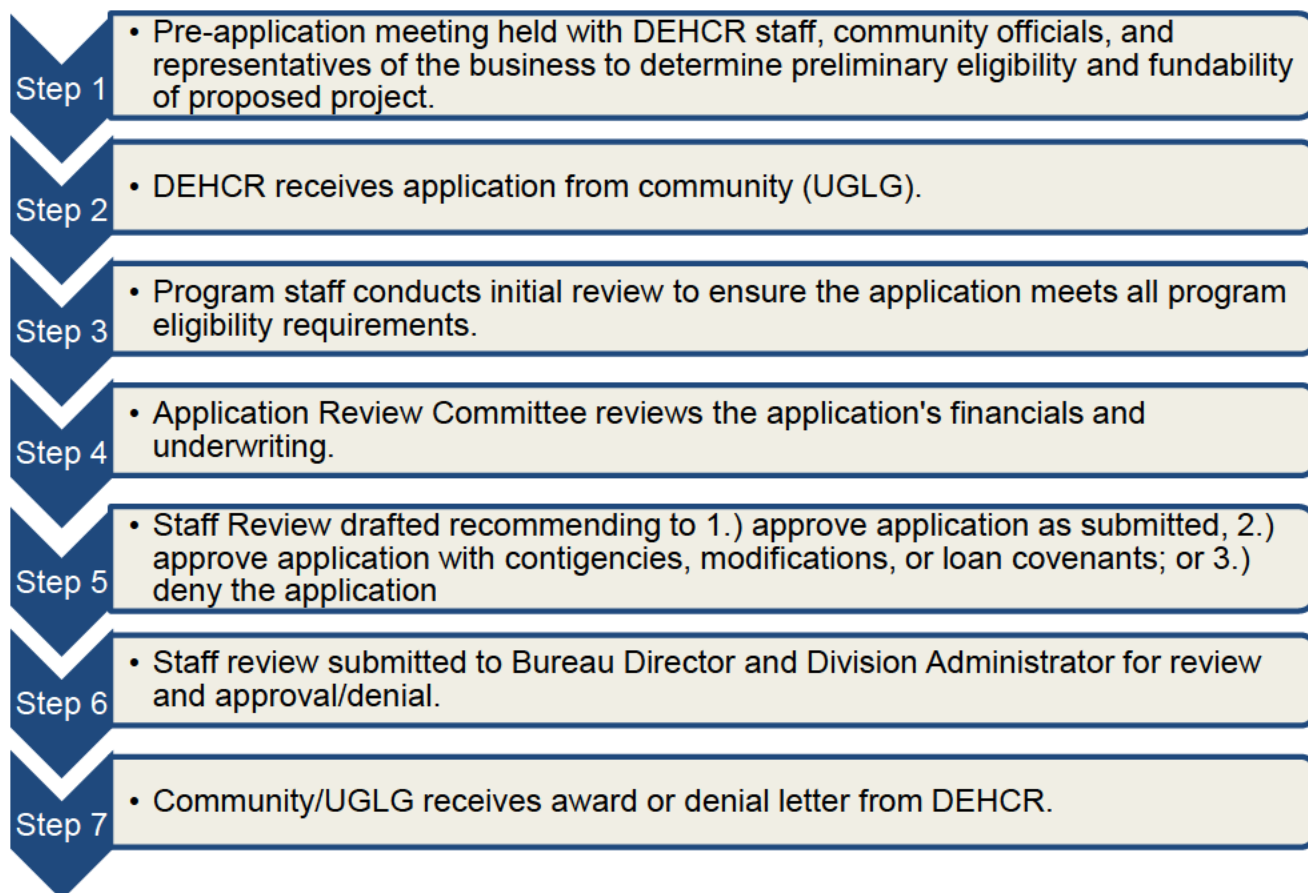
CDBG-ED applications will be processed on a first-come, first-served basis. Applications that do not meet basic program eligibility requirements will be returned with an explanation of requirements needing to be met. Once DEHCR has received an application that meets all program eligibility criteria and program staff has compiled a complete loan file with all required credit, financial, and underwriting information, a DEHCR Staff Review will be drafted recommending one of the following actions:

- 1) Approve the application as submitted;
- 2) Approve the application with contingencies, modifications or loan covenants; or
- 3) Deny the application.

The Staff Review, with proper documentation, will then be submitted to Bureau Director and Division Administrator for review and approval/denial. Applicants that are denied will receive a written denial letter explaining the reason(s) for the denial.

Applicants for CDBG-ED grant program assistance may appeal if their application is denied. DEHCR has implemented a formal Appeal Process for grant applicants who feel a non-funding decision was made in error. The process provides an opportunity for applicants to have their application reviewed a second time to ensure no errors were made during the review process. The Application Approval Process and Appeals Process for CDBG-ED applications appears in the graphic that follows.

**CDBG-ED Application Approval Process:**





**Appeal Process Policy:**

- An applicant who objects to the denial of an award has the right to appeal the decision.
- Appeals must be filed on the basis of staff error in underwriting or misinterpretation of presented information.
- The appeal must include the name of the application and a short summary of why the applicant is appealing the decision.
- The appeal must be filed the Bureau Director within thirty (30) business days of the date of the denial the applicant received notice of the award decision.
- The Bureau Director will review the application and will make a decision whether to reverse the denial decision.
- If the Bureau Director denies the appeal, the applicant must file an appeal with the Division Administrator within thirty (30) days from the date of the letter.
- The Division Administrator will review the application and will make a final determination.

## APPLICATION FOR CDBG-ECONOMIC DEVELOPMENT

**Wisconsin Department of Administration  
Division of Housing, Energy, and Community Resources  
Bureau of Community Development**

**Community Development Block Grant  
Economic Development Program**

**Important Information:**

- A pre-application meeting involving DEHCR staff, community officials, and representatives of the company is required so that all parties are informed about the project and the process from application preparation to grant approval can operate as smoothly as possible.
- Complete the application in its entirety, including all applicable attachments listed within each section. Incomplete applications will not be processed and will be denied.
- Copies of attachments and/or additional pages should be clearly labeled with business name and title of document and inserted in this Application form in the order specified in the Exhibits.

**Application Submission:**

Applications for the CDBG-ED program are accepted on a continual basis. The application **MUST** be submitted by the applicant (UGLG). ONE (1) electronic version of the *CDBG-ED Application* form and supporting documents must be emailed to DEHCR at: [DOACDBG@wisconsin.gov](mailto:DOACDBG@wisconsin.gov).

## APPLICATION CHECKLIST

Please use this checklist to ensure that each section/exhibit is included.

### Sections

- Section I General Information
- Section II Project Profile
- Section III Appropriate Determination
- Section IV Project Costs/Use of Funds Table
- Section IV Participating Parties/Financing Table
- Section IV Tax Information/ Financial Liability Form
- Section IV Business Trade Secret Certification
- Section IV Certification Statement

### Exhibits

- Exhibit 1 Citizen Participation Plan
- Exhibit 2 Citizen Participation Public Hearing Certification & Documentation
- Exhibit 3 Authorizing Resolution to Submit CDBG Application
- Exhibit 4 Lobbying Certification
- Exhibit 5 Statement of Assurances
- Exhibit 6a Fair Housing Actions
- Exhibit 6b Fair Housing Ordinance
- Exhibit 7 Non-Violent Civil Rights Demonstrations/Excessive Force Policy
- Exhibit 8 Davis Bacon / Federal Labor Standards Information
- Exhibit 9 Federal Equal Employment Opportunity (EEO-1) Report
- Exhibit 10 Business / Developer Investment and Job Creation Commitment Letter
- Exhibit 11 Acquisition, Relocation, and Demolition Questionnaire
- Exhibit 12 Residential Anti-Displacement and Relocation Assistance Plan (RADRAP)
- Exhibit 13 Environmental Review
- Exhibit 14 Job Information Documentation (a-d listed below)
- Exhibit 14a Job Creation Table
- Exhibit 14b Job Retention Table (if applicable)
- Exhibit 14c Employee Self Certification Form
- Exhibit 14d Payroll Report(s) (if applicable)
- Exhibit 15 Evidence of Site Control
- Exhibit 16 Tax Information and Financial Liability Exhibits (a-k below)
- Exhibit 16a Historical Financial Statements
- Exhibit 16b Interim Financial Statements
- Exhibit 16c Projected Financial Statements
- Exhibit 16d Personal Financial Statement (if applicable)
- Exhibit 16e Resumes of Officers/Management
- Exhibit 16f Working Capital Line of Credit Information (if applicable)
- Exhibit 16g Real Estate/Used Equipment Appraisal (if applicable)
- Exhibit 16h Site Plan Including Off-site Improvements
- Exhibit 16i Third Party Cost Estimates
- Exhibit 16j Estimated Taxes from the Proposed Project
- Exhibit 16k W-9 Form

**SECTION I: GENERAL INFORMATION**

**1) Project Title** (Enter brief statement to describe project, e.g., XYZ Company Expansion & Job Creation Project)

--	--

**2) Legal Applicant (Community/Unit of Local Government [UGLG])**

UGLG Name: <i>(e.g., CITY OF YOURVILLE)</i>			
Street Address:			
City:	State: WI	Zip Code (9-Digit):	-
County(ies):			
Federal Entity Identification Number (FEIN):			
SAM Unique Entity Identification (UEI) #*:			
Data Universal Numbering System (DUNS) #*:			
UGLG Chief Elected Official (CEO) First & Last Name:			
UGLG CEO Title:			
UGLG CEO Email Address:			
UGLG CEO Phone #:			
UGLG/Municipal Administrator First & Last Name <i>(if different than clerk)</i> :			
UGLG/Municipal Administrator Title:			
UGLG/Municipal Administrator Email Address:			
UGLG/Municipal Administrator Phone #:			
UGLG/Municipal Clerk First & Last Name <i>(if different than Administrator)</i> :			
UGLG/Municipal Clerk Title:			
UGLG/Municipal Clerk Email Address:			
UGLG/Municipal Clerk Phone #:			

\*A UEI # must be provided. The UEI # is obtained by registering on SAM.gov at: <https://sam.gov/entity-registration>.  
 \*\* A DUNS# must be provided for the legal community applicant and for each business creating and/or retaining jobs.

**3) Certification by Authorized Official:**

To the best of my knowledge and belief, the information and data contained in this application are true, complete, and correct. This document has been duly authorized by resolution to be submitted and the CDBG applicant named in Section 1 above agrees to comply with the required assurances, if the financial assistance is approved.

Check here to confirm the Authorizing Resolution to Submit the Application is included with the Application Attachments, as required.

Authorizing Resolution #:	Date Resolution was Authorized/Passed:
UGLG CEO First and Last Name:	UGLG CEO Title:
UGLG CEO Signature of Approval and Certification for CDBG-ED Application:	Date Signed:

**4) Administering Agency (e.g. Economic Development Corp., Regional Planning Comm., Consultant)**

Entity/Organization Name: <i>(e.g., XYZ REGIONAL PLANNING COMMISSION)</i>			
Street Address:			
City:	State: WI	Zip Code (9-Digit):	-
County(ies):			
Federal Entity Identification Number (FEIN):			
DUNS #*:			
Entity/Organization Chief Executive Officer (CEO) First & Last Name:			
Entity/Organization Contact Title:			
Entity/Organization Contact Email Address:			
Entity/Organization Contact Phone #:			

**5) Contact Information for Other Agency Involved (if applicable)**

Agency Name: <i>(e.g., YOURVILLE ECONOMIC DEVELOPMENT CORP.)</i>			
Street Address:			
City:	State: WI	Zip Code (9-Digit):	-
Agency Contact First & Last Name:			
Agency Contact Title:			
Agency Contact Email Address:			
Agency Contact Phone #:			

**6) Developer or Business**

Business Name: <i>(e.g., Yourville Industries, Inc.)</i>			
Street Address:			
City:	State: WI	Zip Code (9-Digit):	-
County(ies):			
Federal Entity Identification Number (FEIN) or Owner Social Security # if no FEIN:			
DUNS #*:			
SIC Code:			
Business Contact First & Last Name:			
Business Contact Title:			
Business Contact Email Address:			
Business Contact Phone #:			
Business Chief Executive Officer (CEO) First & Last Name:			
Business CEO Title:			
Business CEO Email Address:			
Business CEO Phone #:			

**Business Corporate Ownership:**

Name:		Interest (%):	
Name:		Interest (%):	
Name:		Interest (%):	
Name:		Interest (%):	
Name:		Interest (%):	
Name:		Interest (%):	

Please check all that apply:

- Joint Venture
- Limited Liability Company
- C Corporation
- S Corporation
- Sole Proprietorship
- Partnership
- Limited Partnership
- Minority Owned (MBE)\*\*
- ESOP
- Woman Owned (WBE)\*\*

**\*A DUNS # must be provided for each business creating and/or retaining jobs.**

**\*\* Attach copy of MBE/WBE certification, if applicable.**

**7) Project Information**

CDBG Amount Requested:	<input type="checkbox"/> Direct Loan: TOTAL: \$		
	For: <input type="checkbox"/> Facility Infrastructure: <input type="checkbox"/> Facility Construction: <input type="checkbox"/> Equipment: <input type="checkbox"/> Working Capital: <input type="checkbox"/> Grant Administration Services: <small>(cannot exceed 1.5% of Award, up to \$15,000 max.)</small> <input type="checkbox"/> Architectural/Engineering (A/E) Services:	\$ \$ \$ \$ \$ \$ \$ \$	
Project Scope:	Provide brief description of project activities. Limit to 1-3 bulleted items. <i>(Refer to CDBG-ED Application Instructions for guidance.)</i>		
	Add activities... <ul style="list-style-type: none"> <li>• Add activity</li> <li>• Add activity</li> <li>• Add activity</li> </ul>		
Project Location Street Address:			
Project Location City/Village/Town:			Zip Code:
Project Location County:			
Project Start Date: <small>Click or tap to enter a date.</small>		Job Creation Start Date: <small>Click or tap to enter a date.</small>	

**8) Project Map**

Please provide a map of the proposed project area within the applicant’s boundaries. Map should clearly show existing land uses in the surrounding area and location of the proposed activities.

**9) Current Employment Composition<sup>1</sup>**

1. # Full-Time Positions 1 Year Ago:		
2. # Full-Time Equivalent (FTE) Positions 1 Year Ago:		
3. # Full-Time Positions Currently:		
4. # FTE Positions Currently:		
5. # FTE Positions filled by Minorities Employees Currently:		
6. # FTE Positions Filled by Women Employees Currently:		
7. # FTE Positions Filled by Low- to Moderate-Income (LMI) Employees Currently:		
Measurement Date for Current # FTE Positions Entered Above:		[Select Date]

**9) Employee Benefits**

Check (✓) the Health Insurance Provided to Employees:	<input type="checkbox"/> None	<input type="checkbox"/> Individual	<input type="checkbox"/> Family
Percent of Health Insurance Premium Paid by Company:		[ ] %	[ ] %
Average Deductible Paid by Employee:		\$ [ ] per [ ]	\$ [ ] per [ ]
Other Benefits Provided to the Majority of the Workforce: <input type="checkbox"/> Life Insurance <input type="checkbox"/> Pension <input type="checkbox"/> 401(K)			
<input type="checkbox"/> Childcare <input type="checkbox"/> Tuition Reimbursement <input type="checkbox"/> Other (specify):			
Will new employees be provided with substantially the same benefits as described above: <input type="checkbox"/> Yes <input type="checkbox"/> No			

**10) Projected Employment in Each Year<sup>1</sup>**

Measurement:	Year 1:	Year 2:	Year 3:	Total:
<b>Measurement Dates:</b>	[Select Date]	[Select Date]	[Select Date]	[Select Date]
1. # Retained FTE Positions				
2. # Maintained FTE Positions				
3. # New FTE Positions Filled				
4. # Total FTE Positions Filled				
5. # Filled by Minority Employees				
6. # Filled by Women Employees				
7. # Filled by LMI Employees				

**<sup>1</sup>Definitions:**

A full-time employee is an employee working an average of at least 40 hours per week/annually. This does not include part-time or contract employees. A retained job is one that would be lost if the project does not go forward.

Minority is defined for employment purposes as African American, Hispanic, Native American, Asian Indian, Asian or Pacific Islander.

A maintained job is one that will remain even if the project does not go forward.

Low- and moderate-income person is a member of a family with an income equal to or less than the LMI threshold per CDBG income limits established by HUD. Unrelated individuals in the same household are considered one-person families for this purpose. (CFR § 570.3)

**11) Project Consideration**

**A) Submit a business plan or a narrative that provides the following information:**

- 1) Describe the business’s history, including activities, products, services, etc.
- 2) Describe the operation and/or financial relationships with any parent or subsidiary, and describe any changes in ownership that may occur as a result of this project.

**B) Describe project in detail and answer the following questions:**

1) Is this a new facility/site, expansion and/or acquisition? (Include square footage of facility and acreage of site)

[[

2) Will the business purchase/lease/or construct the facility?

[[

3) What type of operation is this? (e.g., manufacturing, headquarters, distribution, R&D)

[[

4) What is the primary product or service to be provided at the site?

[[

5) Explain how jobs will be created and/or retained by the project.

[[

**C) Address the market-economy by providing the following information:**

1) Describe current market, size, industry, trends, growth potential, etc. Include market feasibility information and/or sales commitments to support sales or revenue projections.

[[

2) Provide a list of the top five customers including location (state/city). Include the percent of sales to each customer.

[[

3) Describe the major competitors in the marketplace, including their market share, strengths, and weaknesses.

[[



**SECTION II: PROJECT PROFILE**

1. Site Profile

Attach **Exhibit 14- Verification of Site Control** (i.e., deed, purchase option, long-term lease).

**NOTE:** If a purchase option is offered prior to the Environmental Review being completed, the option must contain contingency language indicating that there will be no transfer of the title to the purchaser until all environmental review procedures have been completed. Any deposits made must be nominal or refundable.

Is the current zoning for the proposed site appropriate?


If current zoning is not appropriate for the proposed project, outline the process and time frame for the required zoning change?


List other approvals required from other entities for the proposed project to move forward. Agencies requiring coordination may include: U.S. Army Corps of Engineers, Wisconsin Department of Natural Resources, U.S. Department of the Interior, local floodplain administrator, local zoning regulators, etc.

<u>Coordination</u>	<u>Mitigation</u>	<u>Comments</u>

2. Environmental Profile

Has the applicant community started the Environmental Review (ER) process for the proposed project?  
 Yes  No (Note: This is a prerequisite for receiving federal funds.)

Outline the time frame for completing the Environmental Review.

**(Attach Exhibit 12 – Environmental Review)**


Is the proposed project a conversion of farmland?  Yes  No

If yes, how many acres?

Is the proposed project location classified as a Brownfield site?  Yes  No

If yes, how many acres?

3. Employment Profile

Job Creation

A. For each business, list by job title all permanent jobs to be created, indicating:

- (1) Jobs claimed to be available to persons of low- to moderate-income (LMI) households
- (2) Jobs which are part-time
- (3) Jobs requiring training

**{Attach Exhibit 13a – Job Creation Table}**

At least 51 percent of the jobs must be held by, or made available to, persons of LMI households. Part time positions must be converted to full time equivalents (FTEs) prior to calculation of LMI jobs. **See Exhibit 13a – Job Creation Table and/or Exhibit 13b – Job Retention Table for formula to convert part time positions to FTEs.**

B. Check each action to be taken by the business and the grantee to ensure that persons of LMI households receive first consideration for positions claimed to be available to LMI persons.

Use of Self-Certification forms at time of application and hire (**required**).

List positions on Job Center of Wisconsin.

List positions with the local Workforce Development Board.

List positions with the local Wisconsin Works (W2) Agency.

List positions with the local Technical College.

List positions with the local Veterans Services office.

List positions with the local Community Action Agency.

### Job Retention

In order to claim job retention, a business must be able to document that without CDBG assistance; jobs will be lost within an immediate time frame.

Will jobs be lost if this project does not go forward?  Yes  No

If yes, **Attach Exhibit 13b – Job Retention Table** and one **Applicant/Employee Self Certification Form (Exhibit 13c)** for each employee for whom job retention is claimed.

A. For each business claiming job retention, provide clear and objective evidence that jobs will be lost without Community Development Block Grant assistance.

Documentation may include:

- 1) Letters from the business and/or related party that clearly indicate the number of jobs that will be lost if the project does not go forward and provide reasons for the anticipated loss.
- 2) Financial statements demonstrating the need for funds and/or a deteriorating competitive position.
- 3) Newspaper articles and/or public notices related to employment loss.
- 4) Other materials specific to the business.

B. For each business, list by job title all permanent jobs to be retained, indicating:

1. Jobs which are part-time.
2. Jobs which are known to be *held* by persons of LMI households at the time assistance is provided.

At least 51 percent of the jobs to be created and/or retained must be held by a person of LMI household.

**The businesses must use the [Employee Self Certification Forms](#) (see Exhibit 13c) to survey employees to determine the current LMI percentage.** Each employee is required to complete an *Employee Self Certification Form*. The Family Income Category limits entered into the form are from the U.S. Department of Housing and Urban Development (HUD) [CDBG Income Limits](#) (at <https://www.hudexchange.info/resource/5334/cdbg-income-limits/>). The Certification form version in effect on the employee's hire date is to be used. For retained employees, the current HUD [CDBG Income Limits](#) in effect as of 'baseline' measurement (e.g., CDBG-ED Application submission date), must be used. The HUD [CDBG Income Limits](#) are county specific. An employee is qualified as LMI, if the total number of household members is greater than or equal to the corresponding HUD CDBG Income Limits (income ranges in columns A-C on the Employee Self Certification form). For example, for a household with three members, the household income for the previous 12 months must be less than or equal to the third income range, "moderate" income.

4. Impact Analysis

Provide a detailed explanation of how this project will have a significant and positive impact on the community.

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Check all of the following that apply to the project and provide a brief explanation as to how the project fits the indicated criteria.

- Coordinates with other public programs;
- Redevelopment project;
- Company is new business to Wisconsin;
- Coordinates with community's Comprehensive Plan.

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Is the business a previous recipient of CDBG assistance? If yes, outline past awards below. Include in your description the type (grant or loan) and amount of assistance, project activities, and how the project met a HUD national objective:

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Was the project(s) successful?    Yes             No

**SECTION III: APPROPRIATE DETERMINATION FOR CDBG FUNDS**

Check the box that most accurately describes the need for CDBG funds, and provide an explanation for the request (check one box only). Simply stating that a financing gap exists is not adequate. The amount of the gap must be documented along with an explanation as to how the gap was determined.

NEED:

1.  Lack of Sufficient Project Funds {Debt and/or Equity}

A. Insufficient equity available for capital costs {explain other uses for the equity or lack of availability of equity} *(Limit response to approx. 100 words or less.)*

| |

B. Lender unable to commit more funds to the project {explain rationale; i.e., debt coverage ratio, cash flow analysis, etc.}. *(Limit response to approx. 100 words or less.)*

| |

2.  Affordability:

A. Unable to pay market rates {explain how income projections do not allow for market rate debt service}. *(Limit response to approx. 100 words or less.)*

| |

B. Insufficient rate of return for business {compare rate of return for project with industry standards}. *(Limit response to approx. 100 words or less.)*

| |

3.  Location:

Does Wisconsin site cost differentials impact businesses' local decision-making? If yes, fully document site cost differentials from the Wisconsin and out of state sites. *(Limit response to approx. 100 words or less.)*

| |

4.  Other:

If the need for CDBG funds is for a different reason than the options given above, provide a detailed explanation for the request. *(Limit response to approx. 100 words or less.)*

| |

**SECTION IV: PROJECT COSTS/USE OF FUNDS**

		Total	CDBG Funds*	New Equity	Private Lender	Comm. Contrib.	Other Public	Source of Other Public
<b>Project Fixed Costs</b>	Land Acquisition	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Building Acquisition	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	New Construction	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Building Renovation	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Leasehold Improvements	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Machinery & Equipment	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Relocation Costs	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Site Prep/On-Site Infrastructure	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Parking	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Other Off-site (please specify)	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Off-Site Streets	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Off-Site Water & Sewer	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Off-Site Flood & Drainage	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Off-Site Professional Fees	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Company Professional Fees	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Arch. & Eng. Fees	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Interim Costs/Other	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Administration	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
<b>Total Fixed Cost (TFC)</b>	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
<b>Non-Fixed Costs</b>	Working Capital	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Training	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	Non-Capital Equipment	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
	<b>Total Non-Fixed (TNF)</b>	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
<b>Total Project Cost =TFC+TNF</b>	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]

\*Was federal prevailing wage used in preparing the project costs for line items including CDBG funds?  
 Yes  No If no, please attach an explanation of why federal prevailing wage funds were not included.

**SOURCES OF FUNDS**

	FINANCING SOURCE			FINANCING				SECURITY	
	Funder	Contact Person	Phone #	Amount	Rate	Term in Years	% of Total	L/B	M/E
1	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
2	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
3	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
4	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
5	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
6	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
7	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
**	Cash Equity	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
<b>TOTAL</b>				[ ]	[ ]	[ ]	[ ]	[ ]	[ ]

Are all financing sources committed?  Yes  No If no, explain:  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

List any special conditions on financing:  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Attach commitment letters for financing sources and cash equity. **SECTION V: TAX INFORMATION/FINANCIAL LIABILITY**

**A. Business Information**

<b>Business Full Legal Name and Address</b>	
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<b>Names and Addresses of any Affiliates</b> (If necessary, attach a separate form for each affiliate listing each of the numbers set forth below.)	
<b>Federal Tax Identification Number</b>	
<b>Wisconsin Tax I.D. Number</b>	

**B. Financial Liabilities**

1. **Explain any outstanding financial liabilities the business has with state or local governments in Wisconsin. Whether or not the amounts are being contested in a court of law, does the applicant and/or company owe:**
  - a. Any delinquent taxes to the state of Wisconsin (the state), a state agency, or a political subdivision of the state?  
 Yes  No
  - b. Any monies to the state or a state agency for the administration or enforcement of the environmental laws of the state?  
 Yes  No
  - c. Any other monies to the state, a state agency, or a political subdivision of the state that are past due?  
 Yes  No
  - d. Is the business the subject of any existing tax lien?  
 Yes  No

If yes to any of the above, please provide details of each instance including, but not limited to, the location, amounts and case identification numbers (if applicable).




# STATE OF WISCONSIN DEPARTMENT OF ADMINISTRATION

Tony Evers, Governor  
Kathy Blumenfeld, Secretary  
David Pawlisch, Division Administrator

## DESIGNATION OF CONFIDENTIAL AND PROPRIETARY INFORMATION

Information cannot be kept confidential unless it is a trade secret. Trade secret is defined in s.134.90 (1)(c), Wis. Stats. as follows: "Trade secret" means information, including a formula, pattern, compilation, program, device, method, technique or process to which all of the following apply:

1. The information derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use.
2. The information is the subject of efforts to maintain its secrecy that are reasonable under the circumstances.

We request that the following pages not be released:

Section	Page #	Topic

In the event the designation of confidentiality of this information is challenged, the undersigned hereby agrees to provide legal counsel or other necessary assistance to defend the designation of confidentiality and agrees to hold the state harmless for any costs or damages arising out of the state's agreeing to withhold the materials.

Failure to include this form in the Application may mean that all information provided as part of the Application will be open to examination and copying. The state considers other markings of confidential in the Application to be insufficient. The undersigned agrees to hold the state harmless for any damages arising out of the release of any materials unless they are specifically identified above.

Company Name	
Authorized Representative	
	Signature
Authorized Representative	
	Type or Print
Date	

This document can be made available in alternate formats to individuals with disabilities upon request.

**CERTIFICATION STATEMENT**

**Has the business owner(s) or any officers of the company:**

- a. Been convicted of a felony?  Yes  No
- b. Been convicted of or enjoined from any violation of state or federal securities law?  Yes  No
- c. Been a party to any consent order or entry with respect to an alleged state or federal securities law violation?  Yes  No
- d. Been a defendant in a civil or criminal action?  Yes  No

**If you have answered yes to any of the above please attach a separate sheet as an explanation.**

**THE BUSINESS:**

1. Certifies that to the best of its knowledge and belief, the information being submitted to the Division of Housing, Energy, and Community Resources (DEHCR) is true and correct.
2. Certifies that the business is in compliance with all laws, regulations, ordinances and orders of public authorities applicable to it.
3. Certifies that the business is not in default under the terms and conditions of any grant or loan agreements, leases, or financing arrangements with its other creditors.
4. Certifies that DEHCR is authorized to obtain a credit check and Dun and Bradstreet on the business and/or business owners.
5. Certifies that the business has disclosed and will continue to disclose any occurrence or event that could have an adverse material impact on the project. Adverse material impact includes but is not limited to lawsuits, criminal or civil actions, bankruptcy proceedings, regulatory intervention, or inadequate capital to complete the project.
6. Understands that unless it qualifies as trade secret, all information submitted to DEHCR is subject to Wisconsin's Open Records Law. Please complete DESIGNATION OF CONFIDENTIAL AND PROPRIETARY INFORMATION form to designate any information as trade secret.

If Section 6 is left blank then all information provided to DEHCR will be open to examination and copying.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
**(Authorized Representative)**

Name: \_\_\_\_\_ Title: \_\_\_\_\_  
**(Authorized Representative)**

## **EXHIBIT 1 – CITIZEN PARTICIPATION PLAN**

Access a Citizen Participation Plan (Template) document and an Authorizing Resolution to Adopt Citizen Participation Plan (Template) document on the DEHCR Bureau of Community Development's Resources and Trainings website at:

<https://energyandhousing.wi.gov/Pages/AgencyResources/CDBG-Resources.aspx>

(under Application Attachments section).

[Insert After This Cover Page]

## EXHIBIT 2 – CITIZEN PARTICIPATION PUBLIC HEARING CERTIFICATION & DOCUMENTATION

Access the Citizen Participation Public Hearing Certification document and Public Hearing Notice (Template) on the DEHCR Bureau of Community Development's Resources and Trainings website at:

<https://energyandhousing.wi.gov/Pages/AgencyResources/CDBG-Resources.aspx>

(under Application Attachments section).

Refer to the Citizen Participation section in this application and the Citizen Participation Plan (Template) document for guidance on the Citizen Participation Public Hearing.

Include the following documents, as applicable, in Exhibit 2:

- Citizen Participation Public Hearing Notice
- Citizen Participation Public Hearing Notice Affidavit of Publication and/or Clerk Certification of Public Posting *(depending on notice requirements applicable to the UGLG and as specified in the UGLG's CPP)*
- Citizen Participation Public Hearing Certification
- Citizen Participation Public Hearing Minutes
- Citizen Participation Public Hearing Sign-In Sheet *(if all hearing attendees are not listed in the hearing minutes)*

[Insert Public Hearing Documents After This Cover Page]

**EXHIBIT 3 – AUTHORIZING RESOLUTION TO SUBMIT CDBG APPLICATION**

Access the Authorizing Resolution to Submit CDBG Application & Certification of Match Funding document on the DEHCR Bureau of Community Development's Resources and Trainings website at:

<https://energyandhousing.wi.gov/Pages/AgencyResources/CDBG-Resources.aspx>

(under Application Attachments section).

[Insert After This Cover Page]

**EXHIBIT 4 – LOBBYING CERTIFICATION**

**LOBBYING CERTIFICATION FROM THE MUNICIPALITY**

The undersigned certifies, to the best of his/her knowledge and belief, that:

1. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
2. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\_\_\_\_\_  
(Name of Local Government)

\_\_\_\_\_  
(Signature of Chief Elected Official)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Signature of Clerk)

\_\_\_\_\_  
(Date)

### EXHIBIT 5 – STATEMENT OF ASSURANCES

#### STATEMENT OF ASSURANCES

I, \_\_\_\_\_, \_\_\_\_\_, of \_\_\_\_\_  
(Name of chief elected official) (Title) (Community/UGLG Name)

in \_\_\_\_\_ County certify that the \_\_\_\_\_  
(Community name)

**[Initial each item]**

1.  Has authorized its Chief Elected Official or Administrator to submit the application, sign contracts, and conduct other business related to the proposed activity if funded.
2.  Has identified its housing and community development needs, including those of low- and moderate-income persons and the activities to be undertaken meet such needs.
3.  Will conduct and administer its program in conformance with the Civil Rights Act of 1964 and the Fair Housing Act, and has adopted a local Fair Housing ordinance.
4.  Will minimize displacement as a result of activities associated with CDBG funds, and will follow an adopted residential anti-displacement and relocation assistance plan.
5.  Will not use special assessments or fees to recover the capital costs of CDBG funded public improvements from low- and moderate-income owner occupants.
6.  Will comply with 24 CFR 570.608 regarding notification, inspection, testing, and abatement procedures concerning lead-based paint.
7.  Has adopted and will enforce a policy prohibiting use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations in accordance with Section 519 of Public Law 101144.
8.  Has a policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location which is the subject of nonviolent and civil rights demonstrations.
9.  Will not enter into a contract with any entity that is debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation.
10.  Is currently in compliance with terms and conditions of all past and/or active CDBG awards and/or contracts.
11.  Will not use CDBG funds to directly assist a business, including a business expansion, in the relocation of a plant, facility, or operation from one labor market area (LMA) to another LMA if the



relocation is likely to result in a significant loss of jobs in the LMA from which the relocation occurs, in accordance with 24 CFR 570.210.

- 12.  Acknowledges that the project cannot commence prior to the grant award and certain procedures must first be taken, including but not limited to:

- Completing the environmental review process;
  - Requesting federal wage rates if applicable;
  - Establishing base employment levels for job related projects;
  - Enter into a development agreement with the participating business; and
  - Developing a system for tracking job retention and/or creation for LMI persons if applicable.

- 13.  Will comply with all the provisions of the Community Development Block Grant Program and will maintain documentation of compliance with the above certifications.

I certify that to the best of my knowledge and belief, the information being submitted to DOA is true and correct.

\_\_\_\_\_

Signature of Chief Elected Official

\_\_\_\_\_

Date

\_\_\_\_\_

Signature of Clerk

\_\_\_\_\_

Date

**EXHIBIT 6a – FAIR HOUSING ACTIONS****POTENTIAL FAIR HOUSING ACTIONS SELECTION:**

According to 24 CFR 570.487(b), the Grantee/UGLG must take some action to affirmatively further fair housing during the contract period. **Circle the number of at least three (3) of the actions below.** If your project is funded, the action circled will be included in your contract timetable and you will implement it during that period. **Fair housing actions may include, but are not limited to the following:**

1. Enact, strengthen, or advertise a local fair housing law;
2. Make area-wide zoning revisions to facilitate the dispersal of multi-family housing outside of minority-concentrated areas;
3. Initiate or fund any studies examining current housing opportunities for minority persons, handicapped persons, and families with children and have these studies form the basis of an affirmative action program providing greater housing opportunities for minorities, handicapped persons and families with children;
4. Send letters from the chief elected official of the local government to those in the business of selling, renting, or financing housing, encouraging them to adhere fully to the fair housing law;
5. Have the local governing body or chief elected official publicly endorse the principle of fair housing and of adherence to the fair housing law in the form of a proclamation, resolution, or similar publicized statement of importance;
6. Improve community facilities and public services in racially integrated neighborhoods to help preserve their mixed character;
7. Display a fair housing poster or provide fair housing information at an appropriate public place;
8. Initiate a public education program on fair housing, involving, for example, representatives of fair housing groups, human relations' bodies, minority organizations, the real estate industry, and government, through the local media. This could include talks on the community's housing opportunities;
9. Fund a fair housing organization (such as a local housing authority) to conduct studies and/or to aggressively investigate rental and/or realtor practices;
10. Suggest the use of affirmative marketing and advertising practices by private developers as a condition for obtaining local licenses and permits; and
11. Enlist the participation of local associations (realtors, real estate brokers, home builders, and mortgage lenders) in approved voluntary programs to promote affirmative fair housing marketing and to review mortgage credit and underwriting criteria that may have an adverse impact on minorities, women, handicapped persons, and families with children.

Grantee/UGLG Name: \_\_\_\_\_ Date Action to be completed: \_\_\_\_\_

Office of Fair Housing and Equal Opportunity: <http://www.hud.gov/offices/fheo/>

Fair Housing ads and other materials: <http://www.fairhousinglaw.org/>

## EXHIBIT 6b – FAIR HOUSING ORDINANCE

The Fair Housing Ordinance must have current language in accordance with [Wisconsin State Statutes, Section 106.50](#) and be adopted by the UGLG.

Access a Fair Housing Ordinance (Template) document and Fair Housing Ordinance Adopting Resolution (Template) document on the DEHCR Bureau of Community Development's Resources and Trainings website at:

<https://energyandhousing.wi.gov/Pages/AgencyResources/CDBG-Resources.aspx>

(under Application Attachments section).

[Insert After This Cover Page]

**EXHIBIT 7 – NON-VIOLENT CIVIL RIGHTS DEMONSTRATIONS / EXCESSIVE FORCE POLICY**

Access the Non-Violent Civil Rights Demonstrations/Excessive Force Policy (Template) document on the DEHCR Bureau of Community Development's Resources and Trainings website at:

<https://energyandhousing.wi.gov/Pages/AgencyResources/CDBG-Resources.aspx>

(under Application Attachments section).

[Insert After This Cover Page]

**EXHIBIT 8 – DAVIS-BACON / FEDERAL LABOR STANDARDS INFORMATION****DAVIS-BACON / FEDERAL LABOR STANDARDS INFORMATION**

1. Will CDBG-ED funds be used to pay for construction costs?

No

Yes

*If yes, Davis-Bacon applies to the project. **Submit a copy of the construction bid** that clearly indicates Davis-Bacon rates were used in developing project costs.*

2. Will CDBG-ED funds be used to pay for equipment?

No

Yes

*If yes, **provide copies of the cost estimates for each piece of equipment** to be financed with CDBG-ED funds on the letterhead of the company, from which it will be purchased. This cost estimate must break out the cost of each item to be purchased and the installation cost of the item.*

3. Will CDBG-ED funds be used to pay for equipment installation costs?

No

Yes

*If yes, Davis Bacon may apply to the project, depending on the outcome of a four part test. The Division of Housing, Energy, and Community Resources' labor standards officer will determine the applicability based on the four factors below:*

- a. The cost of the equipment itself compared to the cost of the installation.*
- b. The existence of a high absolute cost of equipment installation.*
- c. The necessity for structural modifications to accommodate the equipment installation.*
- d. The necessity for updated electrical, plumbing or gas lines to facilitate equipment installations.*

4. If CDBG-ED funds will be used solely to pay for working capital, then Davis Bacon may not apply to the project.

Checking "No" to any of the above questions does not suggest Labor Standards will not apply to the project. The DEHCR Project Representative will determine Labor Standards applicability based on the circumstances of the project.

**EXHIBIT 9 – FEDERAL EEO-1 REPORT****FEDERAL EQUAL EMPLOYMENT OPPORTUNITY (EEO-1) REPORT**

All employers with 15 or more employees are covered by Public Law 88-352 and are required to keep employment records. Certain employers are required by law to file annual EEO-1 (Standard Form 100) reports based on its number of employees and federal contracting activities. Following are the thresholds for filing annual EEO-1 Reports. Please mark the appropriate box that the business falls under:

- Private employer with 100 or more employees.
- Private employer with fewer than 100 employees but is owned or affiliated with another company so the group legally constitutes a single enterprise and the entire enterprise employs a total of 100 or more employees.
- Private employer with 50 or more employees that is a prime contractor or first-tier subcontractor with the federal government and has a contract, subcontract, or purchase order amounting to \$50,000 or more (Does not include this CDBG-ED project).
- Exempt from filing an EEO-1 Report.

These reports are due no later than September 30. Please submit a copy of the business's most recent EEO-1 Report it has filed with the Federal government, unless it is exempt.

**EXHIBIT 10 – BUSINESS/DEVELOPER INVESTMENT & JOB CREATION COMMITMENT LETTER**

*[INSERT AFTER THIS PAGE]*

A Business/Developer investment and Job Creation Commitment Letter (Template) is provided below.

**BUSINESS/DEVELOPER INVESTMENT AND JOB CREATION COMMITMENT LETTER**

*To be completed by business owner/ partner*

Date: \_\_\_\_\_

Dear \_\_\_\_\_ (Chief Elected Official of Applicant Community):

This letter will confirm my/our commitment to move forward with the development of (Project Name). This project includes \_\_\_\_\_ (list activities) and the creation/retention of \_\_\_\_\_ (number) full-time equivalent (FTE) positions.

We/I will spend no less than \$\_\_\_\_\_ on the total development of this project. All on-site and off-site project costs should be included in the summary below. The financing is proposed as follows:

Private Lender	\$	_____
Equity	\$	_____
Community Development Block Grant	\$	_____
Other	\$	_____
Other	\$	_____
<b>TOTAL</b>	\$	_____

Development of the project will allow the current employment of \_\_\_\_\_ to increase to \_\_\_\_\_ 24 months after project completion for a net gain of \_\_\_\_\_ new full-time equivalent (FTE) positions. Of these new jobs, it is our goal to employ at least 51 percent persons from low- and moderate-income households (LMI) and \_\_\_\_\_ percent minorities, recognizing that some persons may qualify to meet the goal for both categories. Also, any commitment to a job training program should be indicated, if applicable.

We/I understand that the goal of the Community Development Block Grant Program is to benefit persons of LMI households. An LMI household is defined as 80 percent of the median household income for the employee’s specific family size for the county area in which the project will be located. The project is defined as all line items listed in the application and includes all aspects necessary to the successful completion. Local officials have provided the business with the low- and moderate-income figures for \_\_\_\_\_ County.

In order to meet the national objective of the Community Development Block Grant Program, 51 percent of the jobs created and/or retained by the project must be taken by or made available to persons of LMI households. Therefore, the undersigned business agrees to maintain the following job creation and/or retention documentation for each employee interviewed, or for existing employees if jobs are claimed as retained:

- Name, address and social security number;
- Household size;
- Household income range; and
- Employee signature.

The following efforts will be used by the business to ensure that LMI persons receive first consideration for open positions in the company. (Check all the apply)

- List positions on Job Center of Wisconsin
- List positions with the local Workforce Development Board
- List positions with the local Wisconsin Works (W2) Agency
- List positions with the local Technical College
- List positions with the local Veterans Services office
- List positions with the local Community Action Agency

If 51 percent of the jobs created and/or retained are not taken by persons of LMI households, the business will provide documentation to demonstrate that it followed acceptable procedures that, under normal circumstances, would result in at least 51 percent of the jobs being taken by persons of LMI households.

The business also understands that an acceptable alternative to the above described record keeping requirements is for the business to work through a state or federal employment agency, such as the local Department of Job and Family Services, to hire persons of LMI households. Such programs must screen the applicants and, upon completion of the hiring process, provide a final certification stating that at least 51 percent of the jobs were taken by persons of LMI households. **The business understands that there will be no exceptions or waivers to this requirement.**

As explained in the application, I/we would not proceed with this at this time without Community Development Block Grant assistance.

If the funding from Community Development Block Grant is approved, I/we are prepared to move forward quickly on this project, with completion no more than 12 months after approval of the Community Development Block Grant funds. I/we expect the project to commence on \_\_\_\_\_ and complete it by \_\_\_\_\_. I know of no reason why this project cannot go forward immediately {note any reasons for lack of immediate commencement}.

I certify that I have the authority to make this commitment on behalf of the company/business, and that we have the resources to finalize the financing package identified above and shown in the community's application for funds.

I also certify that \_\_\_\_\_ will provide the required job creation/retention documentation as outlined in the application instructions. I further certify that I have this authority to make this commitment on behalf of \_\_\_\_\_ (Business).

Sincerely,

*(add CEO/rep. signature here)*

Chief Executive Officer or Authorized Company Representative

\_\_\_\_\_  
(Typed Name and Title)

*(add witness signature here)*

\_\_\_\_\_  
(Typed Name and Title of Witness)



### EXHIBIT 11 – ACQUISITION, RELOCATION & DEMOLITION QUESTIONNAIRE

#### ACQUISITION, RELOCATION AND DEMOLITION QUESTIONNAIRE

UGLG/Community: \_\_\_\_\_ Project: \_\_\_\_\_

Program: \_\_\_\_\_ Date Submitted: \_\_\_\_\_

This section will be used by the Division of Housing, Energy, and Community Resources to determine if you have adequately planned and budgeted for acquisition, relocation, down payment assistance, rehabilitation and demolition activities. Requirements are referenced in the Uniform Relocation and Real Property Acquisition Policies of 1970, as amended (URA) and Section 104(d) of the Housing and Community Development Act (Barney Frank Amendment).

Answer the following Acquisition, Relocation, Demolition, and Conversion questions; Yes, No, or NA:

- 1.  Voluntary Acquisition of
  - Permanent easement
  - Vacant land
  - Land and building
  - Will tenants be, or have they been, displaced?
  
- 2.  Involuntary Acquisition of
  - Permanent easement
  - Vacant land
  - Land and building
  - Are any units occupied? If yes,
    - Relocation assistance will be provided or has been provided
    - Residential occupant is low- and moderate-income
  
- 3.  Donation of
  - Permanent easements
  - Vacant land
  - Land and building
  - Tenants will be displaced or have been displaced
  - Tenant(s) is residential occupant and is low- and moderate-income
  
- 4.  Demolition of residential units or conversion/rehabilitation of a residential unit to another use
  - Unit is suitable for occupancy
  - Unit rents or would rent at or below the Fair Market Rent
  - Unit to be replaced

*If “yes” to any of the three questions above, attach documentation required and listed in your Uniform Relocation Plan.*

*If “no”,*

- Unit is not suitable for occupancy and evidence is attached

**Please note: CDBG projects are subject to State and Federal acquisition/relocation/demolition requirements. If you answered “yes” to any of the questions above, please contact the Bureau of Community Development at [DOACDBG@wisconsin.gov](mailto:DOACDBG@wisconsin.gov) for guidance on the applicability of these requirements to the proposed project.**

**EXHIBIT 12 – RESIDENTIAL ANTI-DISPLACEMENT AND RELOCATION ASSISTANCE PLAN  
(RADRAP)**

**ALL** CDBG applicants must prepare and submit a Residential Anti-Displacement and Relocation Assistance Plan (RADRAP) to be eligible for a CDBG award, in accordance with the Housing and Community Development Act of 1974, as amended; and 24 CFR 42.325.

Access a RADRAP (Template) document on the DEHCR Bureau of Community Development’s Resources and Trainings website at:

<https://energyandhousing.wi.gov/Pages/AgencyResources/CDBG-Resources.aspx>

(under Application Attachments section).

[Insert After This Cover Page]

## EXHIBIT 13 – ENVIRONMENTAL REVIEW

### ENVIRONMENTAL REVIEW

All recipients of CDBG assistance must conduct an environmental review and prepare an *Environmental Report (ER)*, which includes a set of documents containing all the environmental information to the project.

I. Please identify who prepared and completed the ER: \_\_\_\_\_

II. Check which category the project falls under:

- Exempt
- Categorically Excluded Not Subject to 58.5
- Categorically Excluded Converted to Exempt
- Categorically Excluded
- Subject to an Environmental Assessment

III. Provide the date of or expected date of the Certification Letter from the Department:

\_\_\_\_\_

**For additional information on the environmental review process, please refer to [Chapter 4: Environmental Review](#) of the [CDBG Implementation Handbook](#) at: <https://energyandhousing.wi.gov/Pages/AgencyResources/CDBG-Implementation-Handbook.aspx>.**

**Also contact the DOA Environmental Desk at: [DOAEnvironmentalDesk@wisconsin.gov](mailto:DOAEnvironmentalDesk@wisconsin.gov).**

**EXHIBIT 14 – JOB INFORMATION DOCUMENTATION**

**EXHIBIT 14a – JOB CREATION TABLE**

Job Title	Job Description			Determining Full-Time Equivalent Jobs			# of FTE jobs <sup>3</sup>	# of Jobs Available to LMI
	Avg. Hourly Wage	Special Skills Required? <sup>1</sup>	Post HS education required? <sup>2</sup>	# of Employees (a)	Hrs/Wk per Employee (b)	Wks/Yr per Employee (c)		
				FT				
				PT				
				FT				
				PT				
				FT				
				PT				
				FT				
				PT				
				FT				
				PT				
				FT				
				PT				
				FT				
				PT				
				FT				
				PT				
<b>TOTAL</b>								

<sup>1</sup> Jobs made available to LMI persons must not require special skills that can only be acquired with substantial (i.e. one year or more) training or work experience.

<sup>2</sup> Education beyond high school must not be a pre-requisite for LMI positions, unless the business agrees to hire unqualified persons and train them.

<sup>3</sup> FTE= (a\*b\*c)/2080.

**EXHIBIT 14b – JOB RETENTION TABLE**

Job Title	Job Description			Current Employment				Retained Jobs	
	Avg. Hourly Wage	Special Skills Required? <sup>1</sup>	Post HS education required? <sup>2</sup>	# of Employees (a)	Hrs/Wk per Employee (b)	Wks/Yr per Employee (c)	# of FTE jobs <sup>3</sup>	FTE jobs to be Retained <sup>4</sup>	# of Retained LMI jobs <sup>5</sup>
				FT					
				PT					
				FT					
				PT					
				FT					
				PT					
				FT					
				PT					
				FT					
				PT					
				FT					
				PT					
				FT					
				PT					
				FT					
				PT					
<b>TOTAL</b>									

<sup>1</sup> Jobs made available to LMI persons must not require special skills that can only be acquired with substantial (i.e. one year or more) training or work experience.

<sup>2</sup> Education beyond high school must not be a pre-requisite for LMI positions, unless the business agrees to hire unqualified persons and train them.

<sup>3</sup> FTE= (a\*b\*c)/2080.

<sup>4</sup> In order for jobs to be considered *RETAINED*, there must be clear and objective evidence that permanent jobs will be lost without CDBG assistance.

<sup>5</sup> To meet the LMI income jobs standard, 51 percent or more of the retained jobs must be either:

1. Known to be held by LMI persons at the time CDBG assistance is provided (attach Exhibit 12c- Applicant/ Employee Self-Certification form for each employee for whom job retention is claimed), and/or
2. Jobs not known to be held by LMI persons, but which can be reasonably expected to “turn over” to LMI persons within two years. See page 10 for documentation to include.

**EXHIBIT 14c – EMPLOYEE SELF CERTIFICATION FORM**

Access previous and current State of Wisconsin CDBG *Employee Self Certification* forms for all Wisconsin Counties on the DEHCR Bureau of Community Development's *Employee Self Certification Forms* website at:

<https://energyandhousing.wi.gov/Pages/AgencyResources/CDBG-Employee-Self-Certification-Forms.aspx>

(refer to most recent calendar year listed).

[Insert After This Cover Page]

## **EXHIBIT 14d – PAYROLL REPORTS**

### **Payroll Reports**

For applications in which a company is citing either maintained or retained employees, please include the payroll from the company's most recent pay period in order to document current employment levels. The payroll should indicate whether each employee is part-time or full-time. Social security numbers and other sensitive identifiers should be redacted.

[Insert After This Cover Page]

**EXHIBIT 15 – EVIDENCE OF SITE CONTROL**

**Evidence of Site Control  
(Deed, Purchase Option, Lease Agreement etc.)**

[Insert After This Cover Page]



**EXHIBIT 16 – TAX INFORMATION & FINANCIAL LIABILITY EXHIBITS****TAX INFORMATION AND FINANCIAL LIABILITY EXHIBITS**  
***To be completed by the business***

Unless otherwise indicated, please furnish a copy of each of the requested items:

- a) Three years historical financial statements (balance sheet, profit and loss)
- b) Interim financial statements (not more than 90 days old)
- c) Projected financial statements for the current and next three years (balance sheet, profit and loss, including all assumptions)
- d) Personal financial statements\*\*
- e) Resumes of officers and key management personnel
- f) Information concerning working capital line of credit
- g) Real estate and/or used equipment appraisal (fair market and liquidation)
- h) Site plan, which includes off-site improvements
- i) Third party cost estimates for infrastructure and fixed assets costs
- j) Estimated taxes from the proposed project\*\*
- k) W-9 form\*\*

\*\*Please find the necessary forms attached.

[Insert Documents & Forms Listed Above After This Cover Page]

**EXHIBIT 16a – HISTORICAL FINANCIAL STATEMENTS**

**THREE YEARS HISTORICAL FINANCIAL STATEMENTS  
(BALANCE SHEET, PROFIT AND LOSS)**

[Insert After This Cover Page]

**EXHIBIT 16b – INTERIM FINANCIAL STATEMENTS**

**INTERIM FINANCIAL STATEMENTS (NOT MORE THAN 90 DAYS OLD)**

[Insert After This Cover Page]

**EXHIBIT 16c – PROJECTED FINANCIAL STATEMENTS**

**PROJECTED FINANCIAL STATEMENTS FOR  
THE CURRENT AND NEXT THREE YEARS  
(BALANCE SHEET, PROFIT AND LOSS, INCLUDING ALL ASSUMPTIONS)**

[Insert After This Cover Page]

**EXHIBIT 16d – PERSONAL FINANCIAL STATEMENT  
PERSONAL FINANCIAL STATEMENT (1 of 3)**

Date: \_\_\_\_\_

**Complete this form for: 1) each proprietor, or 2) each limited partner who owns 10 percent or more interest and each general partner, or 3) each stockholder owning 10 percent or more of voting stock and each corporate officer and director, or 4) any other person or entity providing a guaranty on the loan.**

Name \_\_\_\_\_  
 Business Phone \_\_\_\_\_ Residence Phone \_\_\_\_\_  
 Residence Address \_\_\_\_\_  
 City, State, Zip Code \_\_\_\_\_  
 Business Name of Applicant/Borrower \_\_\_\_\_

ASSETS		LIABILITIES	
Cash on hand and in Banks	\$ [ ]	Accounts Payable	\$ [ ]
Savings Account	\$ [ ]	Notes Payable to Banks and Others (Describe in Section 2)	\$ [ ]
IRA or Other Retirement Account	\$ [ ]	Installment Account (Auto) Mo. Payments \$	\$ [ ]
Accounts & Notes Receivable	\$ [ ]	Installment Account (other) Mo. Payments \$	\$ [ ]
Life Insurance-Cash Surrender Value Only (Complete Section 8)	\$ [ ]	Loans on Life Insurance	\$ [ ]
Stocks and Bonds (Describe in Section 3)	\$ [ ]	Mortgages on Real Estate (Describe in Section 4)	\$ [ ]
Real Estate (Describe in Section 4)	\$ [ ]	Unpaid Taxes (Describe in Section 6)	\$ [ ]
Automobile-Present Value	\$ [ ]	Other Liabilities (Describe in Section 7)	\$ [ ]
Other Personal Property (Describe in Section 5)	\$ [ ]	Total Liabilities	\$ [ ]
Other Assets (Describe in Section 5)	\$ [ ]	Net Worth	\$ [ ]
<b>Total</b>	\$ [ ]	<b>Total</b>	\$ [ ]
SECTION 1 SOURCE OF INCOME		CONTINGENT LIABILITIES	
Salary	\$ [ ]	As Endorser or Co-Maker	\$ [ ]
Net Investment Income	\$ [ ]	Legal Claims and Judgments	\$ [ ]
Real Estate Income	\$ [ ]	Provision for Federal Income Tax	\$ [ ]
Other Income (Describe Below)*	\$ [ ]	Other Special Debt	\$ [ ]
Description of other income: *Alimony or child support payments need not be disclosed in "Other Income" unless it is desired to have such payments counted toward total income.			

**Exhibit 16d (2 of 3)**

**SECTION 2 NOTES PAYABLE TO BANK AND OTHERS (Use attachments if necessary. Each attachment must be identified as part of this statement and signed).**

Name/Address of Note holder(s)	Original Balance	Current Balance	Payment Amount	Frequency (monthly, etc.)	How Secured or Endorsed Type of Collateral
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]

**SECTION 3 STOCKS AND BONDS (Use attachments if necessary. Each attachment must be identified as part of this statement and signed).**

Number of Shares	Name of Securities	Cost	Market Value Quotation/Exchange	Date of Quotation/Exchange	Total Value
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]
[ ]	[ ]	[ ]	[ ]	[ ]	[ ]

**SECTION 4 REAL ESTATE OWNED (List each parcel separately. Use attachments if necessary. Each attachment must be identified as part of this statement and signed).**

	Property A	Property B	Property C
Type of Property	[ ]	[ ]	[ ]
Name and Address of Property	[ ]	[ ]	[ ]
Date Purchased	[ ]	[ ]	[ ]
Original Cost	[ ]	[ ]	[ ]
Present Market Value	[ ]	[ ]	[ ]
Name and Address of Mortgage Holder	[ ]	[ ]	[ ]
Mortgage Account Holder	[ ]	[ ]	[ ]
Mortgage Balance	[ ]	[ ]	[ ]
Amount of Payment per Month/Year	[ ]	[ ]	[ ]
Status of Mortgage	[ ]	[ ]	[ ]

**SECTION 5 OTHER PERSONAL PROPERTY AND OTHER ASSETS (Describe, and if any is pledged as security, state name and address of lien holder, amount of lien, terms of payment, and if delinquent, describe delinquency).**

[ ]
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**Exhibit 16d (3 of 3)**

**SECTION 6 UNPAID TAXES (Describe in detail, as to type, to whom payable, when due, amount and to what property, if any, a tax lien attaches).**

**SECTION 7 OTHER LIABILITIES (Describe in detail).**

**SECTION 8 LIFE INSURANCE HELD (Give face amount and cash surrender value of policies – name of insurance company and beneficiaries).**

I authorize the Wisconsin Department of Administration/lender to make inquiries as necessary to verify the accuracy of the statement made and to determine my creditworthiness. I certify the above and the statements contained in the attachments are true and accurate as of the stated date(s). These statements are made for the purpose of either obtaining a loan or guaranteeing a loan. I understand FALSE statements may result in forfeiture of benefits and possible prosecution by the State Attorney General.

Signature: \_\_\_\_\_ Date: |\_\_\_\_\_| Social Security Number: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: |\_\_\_\_\_| Social Security Number: \_\_\_\_\_

**EXHIBIT 16e – RESUMES OF OFFICERS/MANAGEMENT**

**RESUMES OF OFFICERS AND KEY MANAGEMENT PERSONNEL**

[Insert After This Cover Page]



**EXHIBIT 16f – WORKING CAPITAL LINE OF CREDIT INFORMATION**

**INFORMATION CONCERNING WORKING CAPITAL LINE OF CREDIT**

[Insert After This Cover Page]

**EXHIBIT 16g – REAL ESTATE AND/OR USED EQUIPMENT APPRAISAL**

**REAL ESTATE AND/OR USED EQUIPMENT APPRAISAL  
(FAIR MARKET AND LIQUIDATION)**

[Insert After This Cover Page]

**EXHIBIT 16h – SITE PLAN**

**SITE PLAN, WHICH INCLUDES OFF-SITE IMPROVEMENTS  
THIRD PARTY COST ESTIMATES FOR INFRASTRUCTURE AND FIXED ASSED COSTS**

[Insert After This Cover Page]

**EXHIBIT 16i – THIRD PARTY COST ESTIMATES**

**THIRD PARTY COST ESTIMATES  
FOR INFRASTRUCTURE AND FIXED ASSESED COSTS**

[Insert After This Cover Page]

**EXHIBIT 16j – ESTIMATED TAXES**

**ESTIMATED TAXES FROM THE PROPOSED PROJECT**

<b>STATE OF WI TAXES</b>	<b>CURRENT YEAR (without project)</b>	<b>FIRST YEAR (after project completion)</b>	<b>SECOND YEAR</b>	<b>THIRD YEAR</b>
Employee Income Taxes				
Commercial Activity Taxes				
<b>LOCAL TAXES</b>				
Municipal Corporate Income Taxes				
Real Estate Property Taxes				
Tangible Personal Property Taxes				

Are you applying for local tax exemptions? If so, indicate the expected percentage and term.

**EXHIBIT 16k – W-9 FORM**

**REQUEST FOR TAXPAYER IDENTIFICATION NUMBER AND CERTIFICATION (W-9)**

Access current form on the U.S. IRS website at:

<https://www.irs.gov/forms-pubs/about-form-w-9>

[Insert After This Cover Page]