CITY OF PRESCOTT
Everybody's Hometown

CDBG 501(c)3 Non-Profit Provider Workshop

Wednesday, November 14, 2012 – 2:00 PM
Council Chambers, 201 S. Cortez Street, Prescott, AZ

Please direct comments to:
Kathy Dudek, Grants Administrator
Community Development Department
City of Prescott, 201 S. Cortez Street, Prescott, AZ 86303
Phone: 928-777-1143
Email: kathy.dudek@prescott-az.gov

APPLICATION INSTRUCTIONS FOR CDBG-FUNDED PUBLIC SERVICE ACTIVITIES

The City of Prescott, Community Development Department, is soliciting applications from qualified non-profit organizations interested in providing services that address one or more of the public service needs targeted in the City's CDBG program.

SCOPE OF WORK:

Under this program, CDBG funds may be used to provide public services (including labor, supplies, materials and other costs), provided the public service is:

- A new service; or
- A quantifiable increase in the level of a service

Targeted public service activities include, but are not limited to:

- Child services
- Health services
- Employment services (i.e., job training)
- Recreational services
- Education programs
- Public safety services and crime prevention
- Fair housing activities (a requirement of CDBG)
- Services for senior citizens and the disabled
- Services for homeless persons
- Services for treatment centers
- Energy conservation counseling and testing

The completed application must address one or more of the targeted public service needs listed above and must serve primarily low- to moderate-income persons in City of Prescott. It is the intent of the City of Prescott to fund those activities that meet a high priority in the City's Consolidated Plan and comply with CDBG National Objectives.

Funding Allocation:

The City of Prescott expects to receive $xxxx* in CDBG funding for the 2013-2014 Fiscal Year. The CDBG allocation for public service requests is 15% of the total annual allocation, or approximately $xxxx* for 2013-2014 Fiscal Year. [* *amount not determined by HUD as of 11-05-12*]

The selection process of applications for funding will be based upon an evaluation of the organizational capacity as well as written information provided in comparison to the needs outlined in the City's Five-year Consolidated Plan and Annual Action Plans.

This solicitation is offered in accordance with federal and state requirements governing procurement of professional services. Accordingly, the City of Prescott reserves the right to negotiate an agreement based on fair and reasonable compensation for the scope of work and services proposed; and, the City reserves the right to reject any and all responses that:

1) do not meet a national objective; 2) are deemed not feasible; 3) do not meet a local need; and/or 4) do not serve eligible or intended beneficiaries.

Funding Timeline:

Application funding recommendations made by the CDBG Citizens Advisory Committee will be forwarded to the City Council for approval as part of the Annual Action Plan process. This process is finalized by May 15th every year with the submittal of the Action Plan to HUD. Once HUD approves the plan and funds are released, a funding agreement will be signed between the City of Prescott and the subrecipient. Funding agreements will have an implementation period (from date of "notice to proceed") and completion deadline no later than June 30, 2014.

Reporting:

Agreements will include monthly reporting requirements, a minimum of one site visit at least every six months, and a process that will discuss the possible cancellation of the contract should the City of Prescott determine that the subrecipient does not have the capacity to meet the implementation/completion timeline and is not demonstrating compliance with contractual obligations in a timely manner.

Contractual Requirements:

Each subrecipient selected to receive funds is required to sign a Subrecipient Agreement with the City. ***No costs incurred prior to the execution of a subrecipient agreement with the City are reimbursable.*** After the execution of an agreement with the City, no funds are to be spent until a "notice to proceed" letter, including the dollar amount of the grant award, is issued by the grants administrator. ***Please note***: *the actual funding amount may change between the date of the approval of the Annual Action Plan and the actual allocation date of release of funding from HUD.*

Under CDBG regulations, certain requirements must be met in order to negotiate a Subrecipient Agreement. These requirements include the following:

1. Applicants must certify that they are a non-profit organization or a governmental agency.

2. After an application is approved for funding, a Subrecipient Agreement will be prepared and sent by the City to the person identified by the applicant as the authorized official for signature. The contract will specify the amount of the award, the period for which the project is approved, the contract term(s) and administrative provisions. Special conditions attached to the award will also be specified in the agreement. Subrecipients will be required to submit and file monthly reports on expenditures, performance progress and objectives. Subrecipients will also be required to submit and file a year-end report with required data no later than June 20, 2014.

3. Each agency receiving CDBG funding from the City is required to certify that it will conduct its business in compliance with the non-discrimination requirements of the City of Prescott, state and federal governments, as applicable. Equal Opportunity Employment policies will be required.

4. In the event of non-compliance, the agreement may be terminated or suspended in whole or in part by the City of Prescott.

5. All subrecipients will be required to comply with the federal government audit requirements as described in OMB Circular A-133 (for HUD's programs, these requirements are codified at 24 CFR Part 84.) All subrecipients must have an annual audit. The costs of the annual audit are the responsibility of the non-profit organization.

Availability of Funds for Next Fiscal Year:

There is no implicit or explicit guarantee funding will be allocated or renewed; consequently, if funds are not allocated or are reduced, the City of Prescott reserves the right to notify the non-profit provider that funding is unavailable. No liability shall accrue to the City of Prescott in the event this provision is exercised; and, the City of Prescott shall not be obligated or liable for any damages as a result of termination under this paragraph.

Evaluation:
The Citizens Advisory Committee will evaluate applications and recommend those for an award based on the following criteria:

- *Program design and community impact*
- *Project is "shovel ready" and/or can be completed during the funding year (July 1, 2013 to June 30, 2014)*
- *Experience and capacity of the requesting non-profit*
- *Leveraging*
- *References* (business relationships, persons using services, etc.)

APPLICATION GUIDELINES:

Application Checklist:

- ☐ Submit one (1) original completed application (form attached), and seven (7) additional copies (single-sided only, on 8½ x 11" paper, stapled or bound)
- ☐ No electronic or e-mailed applications
- ☐ Proposed Project Budget (form attached)
- ☐ Proof of IRS 501(c)3 status
- ☐ Other Funding Source References
- ☐ Copy of Most Recent Financial Audit
- ☐ Certifications signed by authorized official (form attached)

For application assistance, please call:

Kathy Dudek, Grants Administrator
City of Prescott
201 S. Cortez Street
Prescott, AZ 86303
Ph: 928.777.1143; Fax: 928.771.5870

APPLICATION
DEADLINE & PUBLIC HEARING
INFORMATION

All applications must arrive at Prescott City Hall no later than 2:00 p.m. on Wednesday, January 9, 2013. All original applications will be date stamped. Late submissions will not be accepted.

The grants administrator will hold an informational meeting for the purposes of explaining the application package requirements at 2:00 p.m. on Wednesday, November 14, 2012 in Council Chambers, 201 S. Cortez Street, Prescott, AZ. While this meeting is not mandatory, it will help non-profits unsure of CDBG funding to have an opportunity for their questions to be answered prior to submitting an application for funding.

Applicants are strongly encouraged to attend the City of Prescott's CDBG Citizen's Advisory Committee Public Hearing **for non-profit providers that will be held at 3:00 p.m. in Council Chambers, 201 S. Cortez Street, Prescott, AZ on Wednesday, January 16, 2013**. At the public hearing, each organization will be allotted five to ten minutes for its presentation.

If you wish to use a PowerPoint™ or other form of presentation, please call Kathy Dudek, Grants Administrator, at (928) 777-1143 no later than Friday, January 11, 2013, at noon to make arrangements. If you are making a presentation that requires equipment such as a computer, overhead projector, etc., plan to arrive at the public hearing by 2:30 p.m. so that you have your presentation "ready-to-go" when your organization is called.

Persons with disabilities including sight, mobility, hearing, language, etc., may request reasonable accommodation to participate in the meeting. Requests should be made as early as possible, or at least 72 hours prior to the meeting, to allow time to arrange the accommodations. Please call Kathy Dudek at (928) 777-1143 or TDD (928) 777-1100.

EQUAL HOUSING OPPORTUNITY

APPLICATION FOR CDBG-FUNDED PUBLIC SERVICES ACTIVITIES

Please complete & submit this form to
K. Dudek, Grants Administrator
Community Development Department
City of Prescott, 201 S. Cortez Street, Prescott, AZ 86303
(The City of Prescott does not accept e-mailed or electronic submissions)

Name of Organization:	
Contact Person:	
Contact Person's Title:	
Mailing Address:	
Street Address: (if different than mailing address)	
Phone:	
Fax:	
E-mail:	
Website: (if applicable)	
Legal Status of Applicant:	☐ Non-profit (non CHDO) ☐ Limited Partnership ☐ State-certified CHDO ☐ Limited Liability Company ☐ Local government ☐ Corporation ☐ General Partnership
Applicant's Qualifications: (circle)	**Drug Free Policies** **Yes** **No** **N/A** **Fair Housing Policies** **Yes** **No** **N/A** **Equal Employment Opportunity Employer** **Yes** **No** **N/A**

PROJECT DESCRIPTION

Proposed Project Title:

Check all applicable CDBG National Objective(s): *at least one must apply*

- ☐ Benefit to low- and moderate-income (LMI) persons
- ☐ Aid in the prevention or elimination of slums or blight
- ☐ Meet a need having a particular urgency (referred to as urgent need)

Check applicable priority area(s) that the project addresses:

- ☐ Public safety services
- ☐ Services for senior citizens and/or disabled
- ☐ Services for homeless persons
- ☐ Counseling and treatment centers
- ☐ Fair housing
- ☐ Affordable housing
- ☐ Sustainable housing (repairs, energy conservation, ADA accessibility)
- ☐ Education, job training
- ☐ Other (please describe) _____

Describe the existing problem or need to be addressed by proposed project:

Project Location and Service Area. Describe the area to be served by the project. (If possible, attach a map).

Targeted population or demographic. *(ex: low-income, abused women and children, etc.)*:

Proposed Measurable Outcomes – Please provide an outcome statement to be achieved with the use of CDBG funding: *(ex: the fair housing workshop will provide information to 76 low- to moderate-income persons)*

ORGANIZATIONAL CAPACITY

Please describe organization's history and prior experience, including a list of similar projects: (Please attach extra sheets if needed)

Financial Audit and Reports (per CDBG/HUD requirements, a non-profit provider 501C(3) may be required to furnish a copy of its financial audit and report):	*Please circle:*
1) Were the financial statements of the organization prepared in accordance with generally accepted accounting principles?	Yes No N/A
2) Was there accurate and complete disclosure of the financial expenditures of each federally-sponsored program?	Yes No N/A
3) Was an audit of the financial records obtained annually (or at least biennially) in accordance with federal regulations and local requirements?	Yes No N/A
4) Has a copy of all applicable audits/reviews (including any management letter, if appropriate) been forwarded to the funding agency?	Yes No N/A

Please provide other funding source references (attach extra sheets if needed).

Project Details

Amount and source of other funds leveraged for project (please submit documentation if applicable):	Source	Year	Amount

Project sustainability:
1) How will your organization's project or service be impacted if CDBG funds are not awarded during the upcoming CDBG year or if the project is not fully funded? 2) Will your organization be able to implement the project with only partial funding? (Please explain)

Project Timeline

Project start date: **Project completion date:**

Applicants must provide a schedule for the program that lists major activities and indicates when the activities will be occurring. Additional information such as specifications for building projects, bid packages, contractor award, final inspection, etc., should be included when known.

Project Schedule

	1st Quarter			2nd Quarter			3rd Quarter			4th Quarter		
Major program activity:	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	April	May	June

Proposed Budget / Project Cost(s)

(Attach three (3) cost estimates from licensed contractors for each component that will use CDBG funds, i.e., 3 roofing estimates, 3 concrete estimates, 3 window replacement estimates, etc.)

Specific Cost *Item/Description*	CDBG Amount Requested	Other Funds Source	Other Funds Amount	Total Admount *CDBG + Other Sources*
	$		$	$
TOTAL	$		$	$

Program Team:

(Please identify the name of the responsible parties and briefly note the experience that they have in this role. Team members identified after the application will need to be added. Attach extra sheets if necessary).

Staff Member	Background and Expertise of Personnel
Primary Contact ***Name*** ***Title***	
Name ***Title***	
Name ***Title***	

Required Certifications for CDBG
Public Services Activities Application

The signature of the non-profit 501c(3) Agency Representative with Binding Authority below certifies the following statements:

- ☐ The organization has no conflict of interest with the City of Prescott appointed or elected representatives under the provisions of *ARS* Title 38, Chapter 3, Article 8 regarding conflict of interest and exceptions thereto, and including the City of Prescott Procurement Code dated September 23, 2004.

- ☐ The organization will comply with federal requirements to be observed by organizations being funded with CDBG/HUD funds, including compliance with Federal Labor Standards, Section 3, Segregated Facilities, Equal Opportunity, and Non-Discrimination; Section 109, Title VI and EO 11246. All requirements are described in 24 CFR 570 (CDBG Entitlement Grants).

- ☐ Sufficient supplementary funds are available from non-CDBG sources to complete the project, as described, if CDBG funds are allocated to the applicant.

- ☐ The authorized official's signature below certifies that this CDBG Application Package has been reviewed and all information provided in this application and any attachment(s) thereto are true and correct.

_____ _____

Signature of Authorized Agency Representative *Date*

_____

Printed Name

_____

Title

_____

Organization

CDBG Progress / Monitoring Sheet

RE: _____ Date: ___/___/___

Subrecipient Monthly Reports
(are required reports complete and submitted on time) *Y N n/a*
Comments/concerns:

Subrecipient Activities
(*refer to application timeline and measurable outcome*)
(are activities on schedule for completion) *Y N n/a*
Comments/concerns:

Drawdown Activities
(*are invoices submitted on a regular basis, with all information complete and receipts submitted)* *Y N n/a*
Comments/concerns:

Budget Activities
(is project within budget) *Y N n/a*
Comments/concerns:

Subrecipient Records
(are on-site records up to date) *Y N n/a*
Comments/concerns:

Program Team
(any changes to key personnel) *Y N n/a*

SAMPLE

Balance Sheet for: _____

(as of ____/____/____)

Description of Expense	Expended / Drawn	Balance
CDBG Funding Program Year 2013-2014		

Other Comments and Concerns *(please initial)*

SAMPLE

Acknowledgment:

The progress/monitoring report was conducted on _____, 201___ between the Subrecipient and the City of Prescott Grants Administrator:

____ at subrecipient's site
____ at City Hall
_____ via e-mail
_____ via phone conversation
_____ via US Postal Service mail
_____ other: _____

Signed:

_____, __/__/__ -- and --_____, _____, __/__/__

K. Dudek Grants Administrator | Name | Title

CDBG Accomplishment Data -- July 1, 2013 through June 30, 2014

Race/Ethnicity

	Total	Hispanic/ Latino
11-White		
12-Black/African American		
13-Asian		
14-American Indian/Alaskan Native		
15-Native Hawaiian/Other Pacific Islander		
16-American Indian/Alaskan Native & White		
17-Asian & White		
18-Black/African American & White		
19-Amer. Indian/Alaskan Native & Black/African Amer.		
20-Other multi-racial		
Totals		

Income Levels ***(Median Income Yavapai County FY2012 = $57,700 – refer to attached document)*** ***document will be updated and attached each program year***

	Total
Extremely Low <30%	
Low <80%	
Moderate	
Non-Low/Moderate	
Totals	
Percent Low/Mod	_____%

SAMPLE

This certification is provided to the CDBG Grants Administrator, Community Development Department, City of Prescott for the CDBG program year of July 1, 2013 through June 30, 2014.

By: _____ , _____ **Date:** _____

Authorized Official Title