

TABLE OF CONTENTS

Description of the Public Facilities Set-Aside Program.....2

Application Form.....4

 General Instructions..... 4

 Eligibility Requirements.....5

 Application Instructions.....6

 Application..... 9

 Assurances with Information Sheet..... 19

 Required Attachments Checklist.....22

Additional Information and Examples23

 Employee Certification Form.....24

 County Low and Moderate Income Levels.....26

 State of Iowa Citizen Participation Plan.....27

 Community Builder Certification Requirement29

 Community Development and Housing Needs Assessment (Information and Example) 30

 Getting Started on Your CDBG Program.....31

 Procurement of Goods and Services.....31

 Environmental Review Requirements..... 31

 Federal Labor Standards Requirements..... 32

 Planning for Audit Costs..... 33

 Applicant/Recipient Disclosure Report with Instructions.....34

**COMMUNITY DEVELOPMENT BLOCK GRANT
PUBLIC FACILITIES SET-ASIDE PROGRAM**

PURPOSE

The Purpose of the CDBG Public Facilities Set-Aside (PFSA) Program is to increase employment opportunities for low and moderate income lowans by increasing the level of economic activity within the state.

DESCRIPTION

The Program provides financial assistance to cities and counties in order to provide infrastructure improvements. These improvements must benefit businesses and industries requiring such improvements in order to create new job opportunities. The program encourages new business start-ups, expansion of existing businesses **and/or the relocation of out-of-state businesses into Iowa.**

Priority is given to projects that will create manufacturing jobs, add value to Iowa resources and/or increase exports out of state. Preference will be given to those businesses which will create or retain the greatest number of jobs with the least amount of program dollars.

ELIGIBILITY

Iowa cities under 50,000 population (with the exception of Cedar Falls) and all counties are eligible to apply on behalf of businesses within their jurisdiction. Applications are accepted and reviewed on a continuous basis.

SOURCE OF FUNDING

The PFSA Program utilizes a provision which allows 20 percent of the Iowa allocation from U.S. Department of Housing and Urban Development (HUD) for the Community Development Block Grant (CDBG) Program to be reserved to fund job creation activities.

REQUIREMENTS

PFSA assistance may only be provided to a community that truly needs public assistance, and only the minimum amount of PFSA funds necessary may be provided.

The federal law authorizing funds to be used for the CDBG Public Facilities Set-Aside requires that 51% of the persons benefiting from this project must be persons from low or moderate income households.

Additional requirements pertaining to environmental review, civil rights and prevailing wages for construction projects may also apply.

REVIEW CRITERIA

The following criteria are used to rate applications seeking assistance:

1. The amount of PFSA dollars per
2. Percent of funds other than PFSA and local effort funds in the project (50 points).
3. Need and impact of the project - Includes consideration of the local economy, employment conditions, resultant new economic activity, the use of job training programs, the use of availability of other public incentives, project schedule, property tax enhancement and other effects on the local tax base.
4. Local government financial need - bonding capacity, tax capacity, and tax effort will be considered.

5. Local match - local governments must contribute at least 50 percent of the amount of PFSA funds requested. Points will be awarded starting above 50%.

TIME FRAME

Upon receipt by IDED of a complete application, funding decisions can generally be made within 60 days. If awarded, an environmental review must be completed which may take up to 30 days. If federal funds are used for construction, a wage determination must be requested. It may take up to 45 days for a wage decision to be received from the U.S. Department of Labor. In addition, any special contract to conditions must be met before funds may be drawn. The length of time may vary but generally it will take one or two months to clear conditions. Upon requesting federal funds it will take approximately two to three weeks to receive the check. Many of the "conditions after award" may be started during the application review period and would, therefore, considerably shorten the time between award and receipt of funds.

For application forms or more information contact:

**Department of Economic Development
Business Finance/PFSA Program
200 East Grand Avenue, Des Moines IA 50309
(515) 242-4831**

PUBLIC FACILITIES SET-ASIDE APPLICATION FORM**GENERAL INSTRUCTIONS**

1. Before filling out this application form, make sure you have read the CDBG administrative rules, application rating formulas, and the accompanying instructions.
2. This application form must be filled out in typewritten form.
3. Use clear and concise language and restrict your answers to the spaces provided. Attachments should only be used as documentation.
5. Any inaccurate information of a significant nature may disqualify the application from consideration.
6. Costs incurred in preparation of this application are not reimbursable under this grant program.
7. For successful applicants, no costs incurred on the proposed project(s) prior to authorization from the Iowa Department of Economic Development are reimbursable by the CDBG program.
8. At least one public hearing must be conducted prior to submission of an application. (Refer to the Citizen Participation Plan that is enclosed.) A copy of the public hearing notice and a copy of the minutes must be submitted with the application.
9. **Return the completed application with all required attachments and one copy to:**

**Iowa Department of Economic Development
Business Finance/PFSA Program
200 East Grand Avenue
Des Moines, Iowa 50309**

Call (515) 281-3982 for all inquiries related to the State CDBG Program.

ELIGIBILITY REQUIREMENTS

Applicants for funds under any of the programs authorized under the Community Development Block Grant Nonentitlement Program must meet the common threshold criteria listed in the Administrative Rules.

In addition, applicants for Public Facilities Set-aside funds must satisfy the following requirements to be eligible for funding.

1. At least 51 percent of the permanent jobs created or retained by the proposed project will be taken by or first consideration will be given to low- and moderate –income persons;
2. A minimum ratio of one permanent job created or retained for every \$10,000 of CDBG funds awarded must be maintained;
3. Local governments must contribute at least 50 percent of the total PFSA amount of funds awarded;
4. There must be evidence that the CDBG funds requested are necessary to make the proposed project feasible;
5. There must be evidence that the project is feasible and that the business requesting assistance can continue as a "viable business" in the foreseeable future;
6. Jobs created as a result of other jobs being displaced elsewhere in the state will not be considered new jobs created for the purpose of evaluating the application; and
7. No significant negative land use or environmental impacts will occur as a result of the project.

APPLICATION INSTRUCTIONS**1. APPLICANT INFORMATION**

Provide the name of the city or county as applicable. The contact person should be someone who is able to answer questions concerning the contents of this application and can provide further information necessary.

2. BUSINESS INFORMATION

Provide the business name to be assisted. The company officer must sign in this section.

3. PROJECT DESCRIPTION

Provide a narrative summary of the proposed project. This description should include the following:

- The purpose for which project funds are to be used (for both the public facility project and the business project);
- The project schedule; and
- Anticipated short and long term results of the proposed project on the business.

Applicants should be aware that, if a grant award is made, job figures given in this application will become a performance measure in the grant contract. Failure to achieve the number of jobs as specified will result in sanctions against the applicant, including reimbursement of funds.

NOTE: a recent business plan should accompany this application. A community map showing the location(s) of the project(s) should be included with this application.

4. DESCRIPTION AND HISTORY OF THE BUSINESS

Issues to be addressed:

- Is this a startup or an expansion of an existing business?
- Is this a corporation, partnership or sole proprietorship?
- Type of industry (ie., manufacturing, wholesale, etc.).
- description of product or service.
- Description of market.

NOTE: Profit and loss statements and balance sheets for the past three years of operation and projected profit and loss statements and balance sheets for three years into the future must accompany this application.

5. FLOOD PLAIN INFORMATION

Self explanatory.

Questions 6 - 16

Self explanatory.

17. Need and Impact

Briefly describe your community's need for the proposed project and the expected impact of the project on the community. The following factors, as they may apply to your application, will be considered in assigning points for magnitude of need and impact.

- The community's need for assistance;
- Current employment conditions and the impact of this project on those conditions;
- Explain any new economic activity as a result of this project;
- Use of other programs to support/assist the project (i.e., Job Training Partnership Act);
- Program schedule: Are you ready to proceed if the project is awarded? Are other sources of financing secured (i.e., city matching funds, business loans, etc.), How soon would the project construction start? When would the project be completed?
- Cost to the community for provision of increased services;
- The impact on the local tax base (i.e., property tax, sales tax, etc.);
- Explain any land use or environmental impacts this project may create?

18. Summary of Project Costs and Proposed Financing Sources

- A) PFSA Funds Requested—Insert the dollar amount your community is applying for.
- B) Community Matching “Infrastructure” Funds—Insert the dollar amount the community is contributing to the infrastructure part of the project. The community must contribute at least 50% of the PFSA funds requested.
- C) “Other” Matching Infrastructure Funds—Insert any other money that will be contributed toward the infrastructure project (i.e., development corporation, RISE, etc.
- D) Community Project—Enter the name of the project(s) you are applying for and the cost of the project in the “Uses” column. Breakdown the costs of the infrastructure project(s) and provide the sources in the next column. If money for administering this project is being requested, insert this amount under “Administration”.
- E) Business Project—Enter the dollar amount of each component of the business project in the “Uses” column. Breakdown the costs of the business project and provide the “sources” in the next column.

LIST OF POSITIONS FOR JOBS TO BE CREATED/RETAINED

List the positions to be create or retained by Job Title, along with the education, skills and/or experience required for each position. Enter the average hourly wage for each position and the number of full-time and part-time positions affected by the project. Enter their full-time equivalent (FTE).

EMPLOYMENT REQUIREMENTS OF THE PUBLIC FACILITIES SET-ASIDE PROGRAM

The Community Development Block Grant (CDBG) program is federally funded through the U.s. Department of Housing and Urban Development (HUD) and administered by the Iowa Department of Economic Development (IDED) in accordance to the amended 1974 Housing and Community Development Act.

The Community Development Block Grant Public Facilities Set-Aside (PFSA) program has been established to meet the national objective of benefiting low and moderate income (LMI) persons by expanding employment opportunities in the State of Iowa.

To meet this objective, 51% of the permanent full time jobs created or retained must be either:

- A. Actually taken by persons from LMI households; OR
- B. Can be considered to be available to LMI persons because the skills necessary enable persons from LMI households to be attracted to and qualify for the position; and/or the business has an established training program to provide the necessary skills to unqualified persons which they hire;

AND

Actions are taken by the business and/or grantee that ensure low and moderate income persons receive first consideration for filling the available jobs. First consideration means that a business gives objective consideration to the employment of low and moderate income persons. Objective consideration normally will involve an interview.

Regardless of which method is chosen the business must obtain and keep on file for verification, sufficient information about the person to determine low and moderate income status or consider referrals from employment agencies which qualify a person's LMI status and maintain LMI verification records. Generally any individual qualified by JTPA will be accepted as meeting LMI requirements.

A list of low and moderate income levels by household size for each country is included in this application packet.

EMPLOYEE CERTIFICATION FORM

The Employee Certification Form is to be used to verify benefit to low and moderate income persons. The company has committed to providing at least 51% of the positions created or retained t LMI individuals as a result of the project.

Employees hired or retained should complete this form based upon their household income for the prior year.

Completed forms must be kept in files accessible for review by local, the department, and U.S. Department of Housing and Urban Development (HUD) officials.

APPLICATION**1. CITY OR COUNTY SUBMITTING APPLICATION**Applicant _____
(City/County)

Street Address _____

City _____ Zip Code _____

City/County Contact Person _____

Telephone (____) _____ Fax (____) _____

X _____ Date _____

Signature Of Mayor/Board Chairperson

2. BUSINESS INFORMATION

Business Name _____

Street Address _____

City _____ Zip Code _____

Business Contact Person _____

Telephone (____) _____ Fax (____) _____

X _____ Date _____

Signature of Company Officer

RELEASE OF INFORMATION AND CERTIFICATION

I hereby give permission to the Iowa Department of Economic Development (IDED) to research the company's history, make credit checks, contact the company's financial institution, and perform other related activities necessary for reasonable evaluation of this proposal. I understand that all information submitted to IDED relating to this application is subject to the Open Records Law (2005 Iowa Code, Chapter 22) and that confidentiality may not be guaranteed. I hereby certify that all representations, warranties, or statements made or furnished to the Department in connection with this application are true and correct in all material respect. I understand that it is a criminal violation under Iowa law to engage in deception and knowingly make, or cause to be made, directly or indirectly, a false statement in writing for the purpose of procuring economic development assistance from a state agency or political subdivision.

NOTE: IDED will not provide assistance in situations where it is determined that any representation, warranty or statement made in connection with this application is incorrect, false, misleading or erroneous in any material respect. If assistance has already been provided by IDED prior to discovery of the incorrect, false or misleading representation, IDED may initiate legal action to recover CDBG funds.

3. DESCRIBE THE PROPOSED "PROJECT" BEING UNDERTAKEN: i.e. water main to business, Business will expand their production line.

4. DESCRIPTION AND HISTORY OF THE BUSINESS:

5. FLOOD PLAIN INFORMATION

Check One:

No project activities will be conducted in a 100 year flood plain.

Project activities will be conducted within a 100 year flood plain.

Specific activities: _____

6. What percentage of the company's sales will be outside the State of Iowa?
7. What Percentage of the company's total operating expenditures (including wages and Salaries) will be spent within the state of Iowa?
8. What date will the PFSA Project Begin?
- Be completed?
- What date will the company project begin?
- Be completed?
9. Has any part of either project been started yet? _____ Yes _____ No
If yes, please describe.
9. How many full-time employees are currently employed by the company?
- If this company has more than one facility, how many full-time employees are there at the facility affected by this proposal?
- How many part-time employees?
- NOTE: Documentation of the number of employees is needed (i.e., copy of payroll).
10. How many new, full time employees will be added to the payroll within 12 months, if the project is accomplished?
- Within 24 months?
11. What is the estimated annual payroll for the new employees resulting from this project?
12. What is the average wage projected to be for the new employees?
13. Will any of the current employees lose their jobs if the project does not proceed? _____ Yes
_____ No If yes, how many?
- Explain why.
- Of these, how many are LMI? (See employee certification form attached.)
NOTE: A description of the Standard Fringe Benefits provided to employees must accompany this application.
14. What Iowa Companies do you expect to sell to which currently buy from Non-Iowa Companies? What percentage of your sales will fall into this category?
15. What other Iowa companies could be considered as your competitors?

17. COMMUNITY NEED AND IMPACT

Describe the need for the proposed project(s) and the expected impact of the project on the community.

18. SUMMARY OF PROJECT COSTS AND PROPOSED FINANCING SOURCES

- A. PFSA Funds Requested
- B. Community Matching "Infrastructure" Funds
- C. "Other" Matching Infrastructure Funds

USES		SOURCES	
ACTIVITY	\$ AMOUNT	\$ AMOUNT	PROVIDED BY
D. COMMUNITY PROJECT			
*1. _____ (i.e. water main)			
*2. _____ (i.e. sewer line)			
<u>ADMINISTRATION</u>			
E. BUSINESS ACTIVITY			
1. Land Acquisition			
2. Site Preparation			
3. Building Acquisition			
4. Building Construction			
5. Building Remodeling			
6. Machinery & Equipment			
7. Furniture & Fixtures			
8. Other			
TOTAL	\$	\$	(2 COLUMNS MUST EQUAL)

***Federal Labor Standards may apply which might affect the project costs.**

LIST OF POSITIONS FOR JOBS TO BE CREATED/RETAINED

(e.g., 5 welders, 3 assemblers, 1 office worker)

JOB TITLE	SKILLS, EDUCATION EXPERIENCE NECESSARY	HOURLY WAGE	NUMBER FULL-TIME	NUMBER PART-TIME	TOTAL FTE

EMPLOYER CERTIFICATION FORM

I certify that at least 51% of the positions created or retained by _____ as a direct result of the Community. (Name of Firm)

Development Block Grant Economic Development Set-Aside (EDSA/PFSA) Program will be taken by or made available by first consideration Activities, to individuals from low and moderate income households.

Signature of Employer

Date

Attest

Date

***CERTIFICATION REQUIREMENTS OF THE
PUBLIC FACILITIES SET-ASIDE PROGRAM***

The Community Development Block Grant Public Facilities Set-Aside (PFSA) program has been established to meet the national objective of benefiting low and moderate income (LMI) persons by expanding employment opportunities in the State of Iowa.

The federal law authorizing funds to be used for CBDG Public Facilities Set-Aside requires that 51% of the persons benefiting from this infrastructure project must be persons from low or moderate income households. Persons, in this context, refers to future users of the public facility whose primary reasons for locating in the area could be attributed to the existence of the public facility improvement.

CERTIFICATION FORM

I CERTIFY THAT AT LEAST 51% OF THE PERSONS BENEFITING FROM THIS PUBLIC FACILITIES SET-ASIDE PROJECT IN THE FUTURE WILL BE INDIVIDUALS FROM LOW AND MODERATE INCOME HOUSEHOLDS.

Signature of Mayor/County Chairperson

Date

Attest

Date

FINANCIAL INFORMATION FOR CAPITAL IMPROVEMENTS PROJECTS

Applicants requesting funds for a capital improvement project (e.g., water system improvements, sewer system improvements, etc.) must complete this form. **If a sub-recipient (i.e., a nonprofit organization) will own and operate the proposed project, complete the attached operating budget (Schedule 1) and projected cash flow (Schedule 2) for the project.**

A. User Fees and Revenues

This section applies to residential users only, and must be completed whether or not the project directly affects water or sewer rates. If the applicant is a county, and the project would benefit persons not paying uniform water and sewer rates, write "not applicable" in this section. However, if the project serves a specific area of the county with uniform water and sewer rates, then provide that information and note the circumstances. When showing a change in user fees based on financing with or without CDBG funds, attach an additional sheet showing how the different rates were computed.

B. Other Capital Improvement Projects

Describe the most recent capital improvement projects undertaken by the applicant community. Include the completion date, total cost and the local costs. When describing projects for which the community has established a capital improvements fund, include the balance in the fund, the expected annual allocation to the fund and the date the community anticipates undertaking the project.

C. Bonds

Complete this section whether or not the project will increase the indebtedness of the applicant community. An example of "other indebtedness" is a loan from USDA-Rural Development (formerly Farmers Home Administration). List the year of retirement with the amount of each bond issue or loan.

D. Available General Revenue Reserves

This section should be completed for all capital improvements projects. General Revenue Reserve Funds are funds governments reserve for specific planned or potential purposes. Provide an explanation of the planned or potential uses for reserve funds and timetables for implementation/disbursement. Provide sources of funds that represent reserves (i.e., tax revenues, bequests, endowments, miscellaneous proceeds from property sales or fines).

FINANCIAL INFORMATION FOR CAPITAL IMPROVEMENTS PROJECTS

All projects involving capital improvements must complete this form.

A.	<u>User Fees and Revenues</u>	<u>Water</u>	<u>Sewer</u>
	Number of Residential Users	_____	_____
	Average Monthly Residential Bill	_____	_____
	Projected Average Monthly Bill Without CDBG Funds	_____	_____
	Projected Average Monthly Bill With CDBG Funds	_____	_____
	Date of Last Rate Increase (month and year)	_____	_____

B. Other Capital Improvements Projects

Briefly describe the community's most recent capital improvements project(s) and associated costs. Describe any project for which the community has established a capital improvements fund and provide the current balance of that fund:

C. Bonds

Existing Tax Levy	\$ _____
General Obligation Bonding Capacity	\$ _____
Current General Obligation Bonded Indebtedness	\$ _____
Revenue Bonded Indebtedness	\$ _____
Other Indebtedness (specify _____)	\$ _____
Annual Debt Retirement for Outstanding Bonds or Loans	\$ _____
Issue Date _____ Issue Amount _____ Year of Retirement _____	

D. Available General Revenue Reserves: \$ _____

Narrative:

BREAKDOWN OF ENGINEERING/ARCHITECTURAL ESTIMATES

A. Cost Detail

Item Description	Estimated Quantity	Estimated Cost
Subtotal (A) :		\$

NOTE: Include all items costing more than \$500.00. Do not include contingency amounts here.

B. Estimated Professional Fees

	<u>Costs</u>
Preliminary Design	\$ _____
Final Design	\$ _____
Construction Administration	\$ _____
Permits	\$ _____
Legal and Bonding Fees	\$ _____
CDBG Administration	\$ _____
Developers Fees	\$ _____
Other (specify): _____	\$ _____

Subtotal (B): \$ _____

C. Related Construction Costs

Real Property/Easements/ Acquisition	\$ _____
Contingencies	\$ _____
Other (specify): _____	\$ _____

Subtotal (C): \$ _____

TOTAL PROJECT COSTS (A+B+C) \$ _____

Estimates prepared: _____ (date) by: _____ (name/title)

Address/Telephone: _____

Signature/Date: _____

ASSURANCES INFORMATION SHEET

The applicant's chief executive officer (mayor or supervisors chairperson) must sign the assurances sheet, certifying the community will comply with the federal and state requirements described below (and in greater detail in the *CDBG Management Guide*):

THE CIVIL RIGHTS ACTS: No person in the United States shall on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity for which the recipient receives federal funds. The recipient shall also administer all programs and activities relating to housing and community development in a manner to affirmatively further fair housing.

HOUSING & COMMUNITY DEVELOPMENT ACT: Authorizes the CDBG Program. All applicable provisions of the Act shall be adhered to by recipients.

AGE DISCRIMINATION ACT OF 1975: No person on the basis of age, shall be subject to discrimination, excluded from participation in, or be denied benefits of any program or activity for which recipient receives funds.

SECTION 504 OF THE REHABILITATION ACT OF 1973: No person shall, due to a physical or mental disability, be excluded from participation in, denied the benefits or be subject to discrimination under any program or activity for which the recipient receives funds.

DAVIS-BACON ACT: Laborers and mechanics employed by contractors and subcontractors, in the performance of construction work funded in whole or in part with federal funds (exceeding \$2,000), shall be paid wages at rates not less than those prevailing on similar construction in the locality as determined by the U.S. Secretary of Labor.

24 CODE OF FEDERAL REGULATIONS PART 58 & NATIONAL ENVIRONMENTAL POLICY ACT: Provide for the identification of environmental impacts of proposed projects utilizing federal funds. This includes the preparation of environmental assessments and, where necessary, environmental impact statements.

UNIFORM RELOCATION ASSISTANCE AND REAL PROPERTY ACQUISITION POLICY ACT: Owners of real property to be acquired for CDBG activities shall be treated fairly and consistently, to encourage and expedite acquisition by agreements with owners, minimize litigation and promote confidence in public land acquisition. Persons displaced by CDBG activities shall be treated fairly, consistently and equitably so they do not suffer disproportionate injuries as a result of projects designed for the benefit of the public as a whole.

STATE OF IOWA CITIZEN PARTICIPATION PLAN: Local governments must meet the provisions of Section 508 of the Housing and Community Development Act of 1987 (Citizen Participation Plan is attached).

LEAD-BASED PAINT POISONING PREVENTION ACT: Construction or rehabilitation of facilities commonly used by children under age seven with CDBG funds is subject to regulations contained in 24 CFR Part 570.608.

RESIDENTIAL ANTI-DISPLACEMENT AND RELOCATION ASSISTANCE PLAN: Recipients must have a plan to minimize displacement and must replace all occupied and occupiable affordable dwelling units demolished or converted to another use as a direct result of CDBG activities. This applies to all units in a project, even if CDBG funds are not specifically used on the subject unit(s). This is a contract condition to release of CDBG funds.

GOVERNMENT-WIDE RESTRICTION ON LOBBYING: No federal funds will be paid for influencing or attempting to influence an officer or employee of any agency or Member of Congress, in conjunction with awarding of any federal contract, grant, loan, etc.

DRUG-FREE WORKPLACE: The grant recipient must certify that it will provide a drug-free workplace. And each employee engaged in the performance of the CDBG grant must be made aware of this act.

COMMUNITY BUILDER CERTIFICATION: Recipients of state or federal funds awarded after July 1, 1990, must receive Community Builder Plan Program certification. To be certified, a plan must be prepared as outlined by law.

PROHIBITION OF USE OF EXCESSIVE FORCE: Recipients must adopt and enforce a policy prohibiting use of excessive force by law enforcement in their jurisdiction against persons in nonviolent civil rights demonstrations.

REQUIRED ATTACHMENTS
CHECK OFF EACH ONE SUBMITTED

- _____ Original and one copy of the completed application form;
- _____ Documentation of local government commitment of funds (i.e., resolution);
- _____ Business plan/market study;
- _____ The business must submit profit and loss statements and balance sheets for the past three years of operation and profit and loss statements and balance sheets for three years into the future;
- _____ Documentation of current number of jobs at the facility (i.e., copy of payroll);
- _____ Description of standard fringe benefits that are provided to employees;
- _____ Signed and completed employer certification form;
- _____ Signed Certification Form by the mayor/chairperson;
- _____ Signed Assurances Page;
- _____ Copy of the community development and housing needs Assessment;
- _____ Copy of the notice of the public hearing;
- _____ Copy of the minutes of the public hearing;
- _____ Map showing the location of the project;
- _____ Financial information for capital improvements projects (form); and
- _____ Breakdown of engineering/architectural estimates (form).
- _____ Other: _____

Explanation/Comments:

ADDITIONAL INFORMATION AND EXAMPLES

- Employee Certification Form
- County Low and Moderate Income Levels
- State of Iowa Citizen Participation Plan
- Community Development and Housing Needs Assessment—Information and Example
- Getting Started on you CDBG Program
- Procurement of Goods and Services
- Environmental Review Requirements
- Federal Labor Standards Requirements
- Planning for Audit Costs
- Applicant/Recipient Disclosure/Update Report

INSTRUCTIONS FOR EMPLOYEE CERTIFICATION FORM

The Employee Certification Form is to be used to verify benefit to low and moderate income persons. The company has committed to providing at least 51% of the positions created or retained to LMI individuals as a result of the project.

Employees hired or retained should complete this form based upon their household income for the prior year.

Completed forms must be kept in files accessible for review by local, the department, and U.S. Department of Housing and Urban Development (HUD) officials.

**STATE OF IOWA
COMMUNITY DEVELOPMENT BLOCK GRANT
ECONOMIC DEVELOPMENT SET-ASIDE
EMPLOYEE CERTIFICATION FORM**

Date 2005

Dear Employee:

Please provide the information requested on this form so that we can verify to the Iowa Department of Economic Development that your employment here is achieving the goals of the Iowa Community Development Block Grant Program. This information is voluntary. The information will be placed in your confidential personnel file and is available to only a limited number of company officials. The information is also subject to verification by the City of ^ and representatives of the Department of Economic Development.

For assistance, please see _____ . Thank you
Company Official

Sincerely,

Company Official

1) Find the county in which you live and the size of your family. Count all family members including yourself living at home.

Family Size: 1 PERSON 2 PERSON 3 PERSON 4 PERSON 5 PERSON 6 PERSON 7 PERSON 8 PERSON
County:

Should you reside in a county not cited above, please request the available listing of additional Iowa counties.

2) Circle ABOVE or BELOW in this question: IS YOUR FAMILY’S PRESENT TOTAL INCOME **ABOVE** OR **BELOW** THE CORRESPONDING AMOUNT SHOWN FOR YOUR FAMILY SIZE?

3) Hispanic ___ yes ___ no

4) Please indicate your racial group:

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

5) In addition, please indicate whether either of the following pertain:

___ Female Head of Household ___ Disabled ___ Promise Job Participant

6) Name: _____ Social Security Number: _____--____--_____

Signature: _____ Date of Hire: _____

HUD 2005 80% MEDIAN INCOME LEVELS BY COUNTY

COUNTY	1 person	2 person	3 person	4 person	5 person	6 person	7 person	8 person
Benton County	\$33,550	\$38,350	\$43,150	\$47,900	\$51,750	\$55,600	\$59,400	\$63,250
Black Hawk County	\$32,000	\$36,550	\$41,100	\$45,700	\$49,350	\$53,000	\$56,650	\$60,300
Boone County	\$33,400	\$38,150	\$42,900	\$47,700	\$51,500	\$55,300	\$59,100	\$62,950
Bremer County	\$34,000	\$38,850	\$43,700	\$48,550	\$52,450	\$56,350	\$60,200	\$64,100
Buchanan County	\$30,400	\$34,750	\$39,100	\$43,450	\$46,900	\$50,400	\$53,850	\$57,350
Carroll County	\$31,550	\$36,050	\$40,550	\$45,050	\$48,650	\$52,250	\$55,850	\$59,450
Cedar County	\$33,200	\$37,950	\$42,700	\$47,450	\$51,250	\$55,050	\$58,850	\$62,600
Cerro Gordo County	\$31,000	\$35,450	\$39,900	\$44,300	\$47,850	\$51,400	\$54,950	\$58,500
Clinton County	\$31,150	\$35,600	\$40,050	\$44,500	\$48,050	\$51,600	\$55,150	\$58,700
Dallas County	\$38,150	\$43,600	\$49,050	\$54,500	\$58,850	\$63,200	\$67,550	\$71,900
Des Moines County	\$30,250	\$34,550	\$38,900	\$43,200	\$46,650	\$50,100	\$53,550	\$57,000
Dickinson County	\$32,000	\$36,550	\$41,100	\$45,700	\$49,350	\$53,000	\$56,650	\$60,300
Dubuque County	\$32,750	\$37,450	\$42,100	\$46,800	\$50,550	\$54,300	\$58,050	\$61,800
Franklin County	\$30,400	\$34,750	\$39,100	\$43,450	\$46,900	\$50,400	\$53,850	\$57,350
Fremont County	\$31,100	\$35,500	\$39,950	\$44,400	\$47,950	\$51,500	\$55,050	\$58,600
Grundy County	\$34,050	\$38,900	\$43,800	\$48,650	\$52,550	\$56,400	\$60,300	\$64,200
Hamilton County	\$30,950	\$35,400	\$39,800	\$44,250	\$47,800	\$51,300	\$54,850	\$58,400
Hancock County	\$30,300	\$34,600	\$38,950	\$43,300	\$46,750	\$50,200	\$53,650	\$57,150
Harrison County	\$30,600	\$34,950	\$39,300	\$43,700	\$47,150	\$50,650	\$54,150	\$57,650
Henry County	\$32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600
Humboldt County	\$31,250	\$35,700	\$40,200	\$44,650	\$48,200	\$51,800	\$55,350	\$58,900
Iowa County	\$37,700	\$43,050	\$48,450	\$53,850	\$58,150	\$62,450	\$66,750	\$71,050
Jasper County	\$33,450	\$38,200	\$43,000	\$47,750	\$51,600	\$55,400	\$59,200	\$63,050
Jefferson County	\$31,300	\$35,800	\$40,250	\$44,700	\$48,300	\$51,900	\$55,450	\$59,050
Johnson County	\$40,600	\$46,400	\$52,200	\$58,000	\$62,650	\$67,300	\$71,900	\$76,550
Linn County	\$37,800	\$43,200	\$48,600	\$54,000	\$58,300	\$62,650	\$66,950	\$71,300
Lyon County	\$30,300	\$34,600	\$38,950	\$43,300	\$46,750	\$50,200	\$53,650	\$57,150
Madison County	\$32,650	\$37,300	\$42,000	\$46,650	\$50,350	\$54,100	\$57,850	\$61,550
Marion County	\$33,200	\$37,950	\$42,700	\$47,450	\$51,250	\$55,050	\$58,850	\$62,600
Marshall County	\$31,250	\$35,700	\$40,200	\$44,650	\$48,200	\$51,800	\$55,350	\$58,900
Mills County	\$33,500	\$38,250	\$43,050	\$47,850	\$51,650	\$55,500	\$59,300	\$63,150
Muscatine County	\$32,400	\$37,050	\$41,700	\$46,300	\$50,050	\$53,750	\$57,450	\$61,150
Plymouth County	\$34,100	\$39,000	\$43,850	\$48,700	\$52,600	\$56,500	\$60,400	\$64,300
Polk County	\$38,150	\$43,600	\$49,050	\$54,500	\$58,850	\$63,200	\$67,550	\$71,900
Pottawattamie County	\$36,550	\$41,800	\$47,000	\$52,250	\$56,400	\$60,600	\$64,800	\$68,950
Poweshiek County	\$31,300	\$35,800	\$40,250	\$44,700	\$48,300	\$51,900	\$55,450	\$59,050
Scott County	\$32,500	\$37,100	\$41,750	\$46,400	\$50,100	\$53,800	\$57,550	\$61,250
Shelby County	\$30,500	\$34,900	\$39,250	\$43,600	\$47,100	\$50,600	\$54,050	\$57,550
Sioux County	\$31,000	\$35,450	\$39,900	\$44,300	\$47,850	\$51,400	\$54,950	\$58,500
Story County	\$37,350	\$42,700	\$48,000	\$53,350	\$57,650	\$61,900	\$66,150	\$70,450
Warren County	\$38,150	\$43,600	\$49,050	\$54,500	\$58,850	\$63,200	\$67,550	\$71,900
Washington County	\$30,750	\$35,150	\$39,550	\$43,900	\$47,450	\$50,950	\$54,450	\$57,950
Winnebago County	\$31,800	\$36,350	\$40,900	\$45,450	\$49,100	\$52,700	\$56,350	\$60,000
Winneshiek County	\$30,900	\$35,350	\$39,750	\$44,150	\$47,700	\$51,250	\$54,750	\$58,300
Woodbury County	\$30,850	\$35,250	\$39,650	\$44,100	\$47,600	\$51,150	\$54,650	\$58,200
All Other Counties	\$30,000	\$34,300	\$38,600	\$42,900	\$46,300	\$49,750	\$53,150	\$56,600

**CITIZEN PARTICIPATION PLAN
FOR THE IOWA COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

Pursuant to the citizen participation requirements of section 508 of the Housing and Community Development Act of 1987, as amended, effective March 25, 1988, the Iowa Department of economic Development will undertake the following actions to ensure compliance with said requirements by all applicants for and recipients of CDBG funds administered by the State:

- A. Henceforth IDED will advise all CDBG applicants and grantees of the requirements of Section 508 of the Housing and Community Development Act of 1987, as amended.
- B. IDED will advise all CDBG applicants and grantees of acceptable means to comply with the requirements Section 508 of the Housing and Community Development Act of 1987, as amended, to wit:

Applicants/grantees must:

1. Conduct at least one public hearing on the CDBG activities proposed in the CDBG application submitted to IDED and at least one public hearing on the status of funded activities.

THE APPLICATION HEARING, AT MINIMUM, MUST INCLUDE A REVIEW OF: (A) HOW THE NEEDS FOR THE PROPOSED ACTIVITIES WERE IDENTIFIED, (B) HOW THE PROPOSED ACTIVITIES WILL BE FUNDED AND SOURCES OF FUNDS, (C) DATE APPLICATION WILL BE SUBMITTED, (D) REQUESTED AMOUNT OF CDBG FUNDS, (E) ESTIMATED PORTION OF THE CDBG FUNDS REQUESTED THAT WILL BENEFIT PERSONS OF LOW AND MODERATE INCOME, (F) WHERE THE PROPOSED ACTIVITIES WILL BE CONDUCTED, (G) PLANS TO MINIMIZE DISPLACEMENT OF PERSONS AND BUSINESSES AS A RESULT OF FUNDED ACTIVITIES, (H) PLANS TO ASSIST PERSONS ACTUALLY DISPLACED, AND (I) THE NATURE OF THE PROPOSED ACTIVITIES.

The public hearing on the status of funded activities, at minimum, must include a review of (a) a general description of accomplishments to date, (b) a summary of all expenditures to date, (c) a general description of the remaining work, and (d) a general description of changes made to the CDBG project budget, performance targets, activity schedules, project scope, location, objectives or beneficiaries.

2. Publish notices of hearing(s) consistent with the requirements of the Iowa Code, Section 362.3.
3. Ensure the public reasonable access to all local meetings, project records and information relating to the proposed and actual use of CDBG funds.
4. Conduct all CDBG related public meetings or hearings in public buildings or facilities that are accessible to the handicapped.
5. Provide citizens the name and address of: (a) the person(s) authorized to receive and respond to citizen proposals, questions and complaints concerning proposed or funded activities, (b) the person(s) that will be available and able to provide technical assistance to groups representative of persons of low and moderate income in preparing and presenting their proposals for the request and use of CDBG funds.

- 6. Provide translators during or written translations after public hearings attended by non-English speaking residents upon their request whenever they represent a significant proportion of the persons benefited by the proposed or actual project activities.

- C. IDED will advise all CDBG applicants and grantees that eligibility for receipt of CDBG funds requires compliance with the applicable requirements of Section 508 of the Housing and Community Development Act of 1987, as amended.

- D. IDED will require that all CDBG applicants and grantees certify they have complied with the applicant requirements of Section 508 of the Housing and Community Development Act of 1987, as amended, in the development and conduct of CDBG funded activities.



COMMUNITY DEVELOPMENT AND HOUSING NEEDS ASSESSMENT

Federal law requires each CDBG applicant to "identify its community development and housing needs, including the needs of low and moderate income persons, and the activities to be undertaken to meet such needs." DED has determined that the following procedure would be sufficient:

At a City Council meeting, public hearing or similar public meeting, or during a community planning process, the following items should be discussed and written down:

1. Major housing and community development needs of the low and moderate income residents of your Community.
2. Other major housing and community development needs in your community (affecting the whole community, or persons who are not low-and-moderate income).
3. Planned or potential activities to address the needs in 1 and 2 above.

If your current "Needs Assessment" is over two years old, please update it prior to submitting it with your CDBG application. Any Community Development and Housing Needs Assessment that is over two years old **will not** be accepted.

For those communities that have any questions or problems with this requirement, contact IDEED at 515/281-3982.

(SAMPLE)
**YOURTOWN COMMUNITY DEVELOPMENT AND HOUSING
NEEDS ASSESSMENT**

Community Development and Housing Needs of Low and Moderate Income Persons

1. Improvement of presently unpaved streets in Southeast neighborhood (a low income area of the City);
2. Connection of un-sewered Stone River neighborhood to the city sewer (presently residents have inadequate septic systems); and
3. Decrease the number of substandard housing units in Yourtown, especially in the Southeast neighborhood.

Other Community Development and Housing Needs

4. Increase the city's water storage capacity. Present water tower is inadequate to meet accepted standards;
5. Provide housing for the community's elderly;
6. Provide job opportunities for Yourtown's unemployed. Present area unemployment rate is 9.5 percent; and
7. Expand the amount of community meeting space in Yourtown.

Planned or Potential Activities to Address Housing and Community Needs

1. Apply for Community Development Block Grant funds for street paving in Southeast neighborhood, sewer mains for Stone River neighborhood and housing rehabilitation for low and moderate income persons community-wide;
2. Contract with consulting engineer to prepare plans and specifications for increased water storage; issue revenue bonds in the amount necessary to complete water storage project;
3. Seek funding for elderly housing from the Farmers Home Administration;
4. Establish a local development corporation to encourage industrial development in Yourtown; and
5. Work with Yourtown Community Betterment Committee in their efforts to raise funds for the Yourtown Community Center.

This assessment was prepared at a Yourtown City Council meeting on (date). (Number attending) local residents were present.

GETTING STARTED ON YOUR CDBG PROGRAM

Many of you, if awarded, may be anxious to get started on your CDBG projects. In most cases, costs of the projects themselves may not be incurred until after an environmental review has been completed. However, many exempt activities can be undertaken. The major activities that you are authorized to undertake immediately include: selection of professional services (such as engineers, architects, and attorneys), environmental review of projects, preliminary engineering and design work, and administrative costs (including personnel services, travel and materials). Reimbursement of these costs from CDBG funds are subject to successful execution of a contract with the Iowa Department of Economic Development.

If you need assistance in the preparation of environmental review requirements, please call (515) 242-4848.

Selection of engineers and other professional services requires use of a competitive negotiation process, involving solicitation of qualifications from a number of qualified firms or individuals. (This is not a price-bid situation). For more information contact CDBG staff at (515) 242-4848.

It is not permissible to prepare final plans and specifications, solicit construction bids or begin work on construction projects prior to completing the environmental review process. If you have questions concerning what is permissible contact CDBG staff before proceeding.

PROCUREMENT OF GOODS AND SERVICES

This is to inform you that we have been advised by the Department of Housing and Urban Development that the procurement requirements that apply to cities and counties under the normal CDBG grant program do not apply when a private business is purchasing goods or services under the Economic Development Set-Aside program. In other words, when a business is hiring a construction firm or purchasing equipment or inventory, competitive procurement practices do not need to be followed. It is still recommended, however, that some type of price comparison take place prior to purchasing goods and services. Please contact Economic Development Set-Aside staff (515) 242-4848 if you have any questions.

ENVIRONMENTAL REVIEW REQUIREMENTS

Before proceeding with a project all grantees will have to complete the environmental review process. In many projects this will require the completion of an environmental assessment and the provision of public comment periods. Most project costs may not be incurred until the environmental process is completed.

If an applicant is concerned about starting immediately upon grant award, if funded, the environmental review process may be completed before award. However, these costs would not be allowable costs under the contract with this office.

If you have any questions concerning these requirements, contact Peggy Russell at (515) 242-4848.

FEDERAL LABOR STANDARDS REQUIREMENTS

The Davis-Bacon Act is applicable to all contracts for construction, alteration and/or repairs in excess of \$2,000, which involve CDBG funds. Contracts for construction or rehabilitation of residential structures of fewer than 8 family units when completed are exempt from prevailing wage requirements. Economic development projects usually require Davis-Bacon Compliance. Prior to implementing an economic development project contact the Department of Economic Development for guidance.

The minimum wages to be paid employees (including apprentices and trainees) must be based on DOL's determination of the prevailing wage rates for the locality. Grantees can obtain wage rate determination by submitting a phone or written request to DED's CBDG Data Analyst.

The Copeland "Anti-Kickback" requires that payment to employees must be made at least once a week and without subsequent deductions or rebate on any account except "permissible" salary deductions.

The Contract Work Hours and Safety Standards Act/Department of Defense Authorization Act of 1986 requires that employees shall not work in excess of forty (40) hours in any workweek unless they receive overtime compensation at a rate not less than one and one-half times the basic rate of pay for those overtime hours worked. The contractor or subcontractor shall be liable to any affected employee for his/her unpaid wages.

The department of Labor (DOL) requires that the prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with all labor provisions.

PLANNING FOR AUDIT COSTS

All contracts for CDBG funds are subject to audit.

The Single Audit Act of 1984 mandates that certain recipients of federal funds obtain an audit of their entire operations. When applying and budgeting for CDBG funds, please consider the following conditions under which grantees may be required to obtain an organization-wide audit:

Any local government which receives over \$100,000 in federal funds (CDBG or any other) in a fiscal year, will be required to have an audit conducted on their entire operations for the fiscal year, and that audit will have to be conducted in accordance with the OMB Circular A-128 (the implementing instructions for the Single Audit Act). Also, any unit of local government which receives over \$25,000 but less than \$100,000 in federal funds in a fiscal year must have either an audit conducted of their entire operations (as above) or a separate program audit prepared for the federal project(s) involved. The CDBG program also requires an audit be performed on CDBG funds even if under \$25,000 has been received. In this case a project audit or an organization-wide audit will be acceptable.

In any case, the amount of the audit cost which is chargeable to the CDBG program would be the share which represents the proportion of CDBG funds to all other funds included in the audit. Since the second and third cases (over \$25,000, less than \$100,000) allow an audit of the CDBG program alone, most of these costs may be charged to CDBG. Cities and counties should be aware, however, that the CDBG program cannot pay for the entire audit costs in the case of an organization-wide audit, and should budget local funds for the rest of the cost of the audit in their normal budgeting procedures.

For those cities who are required by state law to be audited every four years (populations of 700-2,000), the cities may wish to determine when their next audit is due, and attempt to coordinate the audit required by state law with the requirements of the Single Audit Act.

The State Auditor's office should be consulted if an alteration in your four-year schedule would be necessary.

INSTRUCTIONS FOR COMPLETING APPLICANT/RECIPIENT DISCLOSURE REPORT

As required by the HUD Reform Act of 1989 (Pub. L 101-235), each applicant and/or recipient of HUD funds under the Community Development Block Grant, Emergency Shelters Grant Program and HOME Investment Partnerships Program must complete and submit an Applicant/Recipient Disclosure/Update Report to IDED.

PART I — Applicant/Recipient Information

1. Record applicant name, address and phone number (area code). Record employer identification number or social security number.
2. Record project/activity name/number and location (street address, city, state and zip code).
3. Describe type of assistance requested/received (e.g., grant, loan).
4. Record name of program (e.g., CDBG, ESGP, HOME)
5. Record amount of funds requested.

PART II — Threshold Determinations

Answer question(s) as appropriate.

PART III — Sources and Uses of Funds**Source of Funds**

Enter all expected sources of funds that have been, or are expected to be, made available for the project or activity. Sources of funds typically include, but are not limited to government assistance, equity, loans, contributions and foundations. For each reportable source:

1. Record the name and address (city, state and zip code) of the department/state/local agency/individual making the assistance available.
2. Record the program name.
3. Record the type of assistance (e.g., loan, grant, loan insurance). If federal tax credits are involved, indicate all syndication proceeds and equity.
4. Record the amount of assistance requested or provided.

Use(s) of Funds

Indicate the use of all funds identified in the sources of funds section. List them in descending order by amount.

1. List sources of funds.
2. List uses of funds (e.g., construction, professional services, supplies, working capital).
3. List amount of funds (rounded to nearest dollar).

PART IV — Interested Parties Disclosure

Provide an alphabetical list of all persons/entities with a reportable financial interest in the project and/or activity. Include the social security or employer identification number, the type of participation in the project and the amount and percentage of assistance each will receive.

CERTIFICATION

After completing all relevant parts of the form, the Chief Elected Official must sign and date the form, attesting to its accuracy and completeness. This signature is required for all applicants, and for any updates which are submitted.

UPDATED DISCLOSURE REPORTS

In most instances, the applicant/recipient must submit an updated Disclosure Report. An updated Disclosure Report is required to report the following:

- information that was unavailable at the time of application;
- information that should have been disclosed originally but was omitted;
- changes to previously disclosed other government assistance (if the assistance exceeds the amount previously disclosed amount by \$250,000 or 10 percent of the original assistance, whichever is lower);
- changes to previously disclosed financial interests (if the financial interest exceeds the amount previously disclosed amount by \$50,000 or 10 percent of the original financial interest, whichever is lower);
- changes in previously disclosed sources and uses of funds (if the source and/or use of funds exceeds the previously disclosed amount by \$250,000 or by 10 percent of the sources, whichever is lower).

Reports should be submitted to:

**Business Finance
Iowa Department of Economic Development
200 East Grand Avenue
Des Moines, Iowa 50309**

Questions should be directed to the Business Finance at (515) 242-4831.

APPLICANT/RECIPIENT
DISCLOSURE/UPDATE REPORT

IOWA DEPARTMENT OF
ECONOMIC DEVELOPMENT

Part I. Applicant Recipient Information			Indicate whether this is an Initial Report <input type="checkbox"/> or an Update Report <input type="checkbox"/>
1. Applicant/Recipient Name, Address and Telephone (include area code)	Contract #	Employer ID or Social Security Number	
2. Project Assisted/to be Assisted (Project /Activity name and/or number and its location by Street Address, City and State)			
3. Assistance Requested/Received	4. HUD Program	5. Amount Requested/Received	

Part II. Threshold Determinations

1. Are you requesting HUD assistance for a specific project or activity, and have you received or can you reasonably expect to receive, an aggregate amount of all forms of covered assistance from HUD, States, and units of general local government in excess of \$200,000 during the _____ Federal fiscal year (October 1 through September 30) in which the application is submitted?
 _____ YES _____ NO If YES, complete the remainder of this report. If NO, please answer the next question (2).

2. Is this application for a specific housing project that involves other federal government assistance?
 _____ YES _____ NO If YES, complete the remainder of this report. If NO, sign the certification at the end of this report.

If your answers to both questions are NO, you do not need to complete Parts III or IV, but you must sign the certification at the end of the report.

Part III. Sources and Uses of Funds

SOURCES			
Department/State/Local Agency Name and Address	Program	Type of Assistance	Amount Requested/Provided

USES	
Use description	Amount

APPLICANT/RECIPIENT
DISCLOSURE/UPDATE REPORT

IOWA DEPARTMENT OF
ECONOMIC DEVELOPMENT

Part IV. Interested Parties Disclosure			
<p>Provide an alphabetical listing of (1) all developers, contractors or consultants involved in the application for assistance or in the planning, development or implementation of the project or activity and (2) any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower). Recipients must make additional disclosure as necessary on update reports.</p> <p><i>NOTE: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a financial interest.</i></p>			
Alphabetical List of Persons with Reportable Financial Interest in Project/Activity (for individuals, list last names first)	Social Security Number or Employer ID Number	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)

CERTIFICATION

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of the United States Code. In addition, any person who knowingly and materially violates any required disclosure of information, including intentional non-disclosure, is subject to a money penalty not to exceed \$10,000 for each violation.

I certify that this information is true and complete.

Signature	Title	Date
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