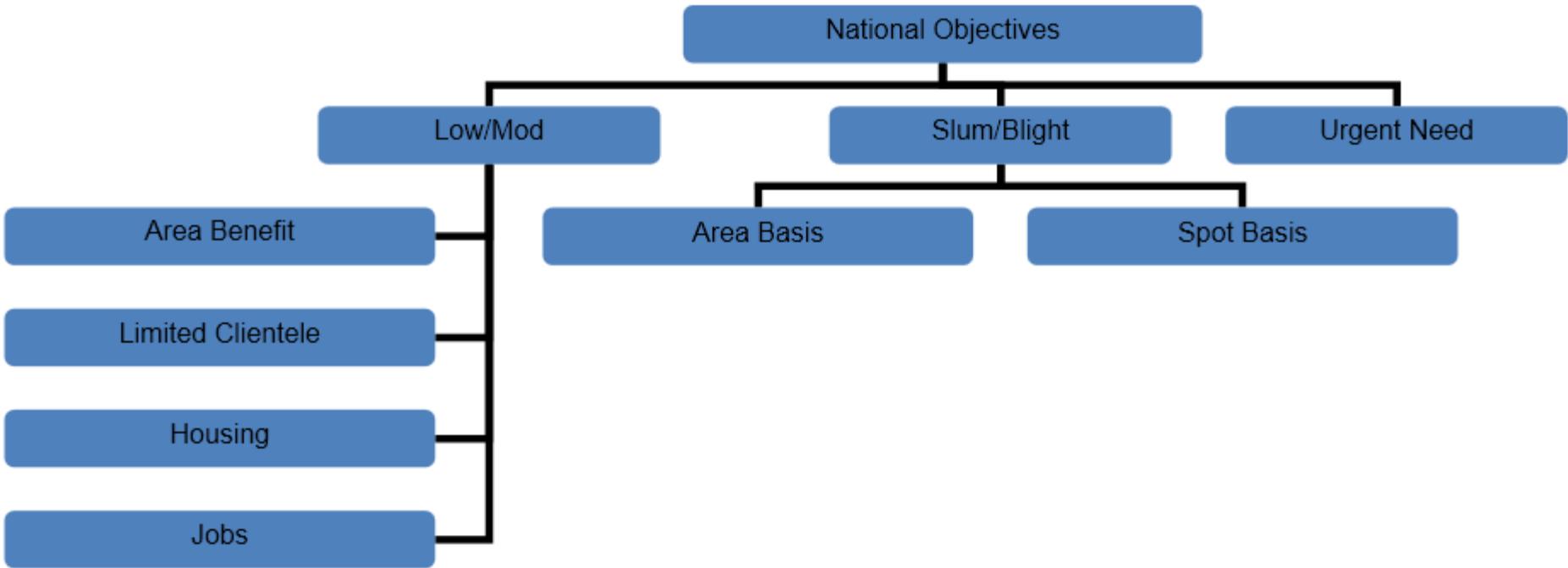


# What's In your files?

A decorative graphic consisting of a solid teal horizontal bar that spans the width of the slide. Below this bar, on the right side, are several horizontal lines of varying lengths and colors, including teal and white, creating a layered, modern look.

# National Objective

- All CDBG assisted activities must meet one of three national objectives determined by HUD
  1. Benefit low and moderate income persons (LMI persons);
  2. Aid in the prevention or elimination of slum's or blight; or
  3. Meet a need having a particular urgency (commonly referred to as “urgent need”)



# Benefit Low and Moderate Income

The 2013 CITY OF DULUTH MEDIAN FAMILY INCOME is \$60,900 per HUD calculations.

## ANNUAL INCOME

<b>FAMILY SIZE</b>	<b>VERY LOW- INCOME 30% of the Median</b>	<b>LOW-INCOME 50% of the Median</b>	<b>LOW-MODERATE INCOME 80% of the Median</b>
1	\$12,950	\$21,600	\$34,550
2	\$14,800	\$24,700	\$39,500
3	\$16,650	\$27,800	\$44,450
4	\$18,500	\$30,850	\$49,350
5	\$20,000	\$33,350	\$53,300
6	\$21,500	\$35,800	\$57,250
7	\$22,950	\$38,300	\$61,200
8	\$24,450	\$40,750	\$65,150

Discontinue previous income guidelines and use the above guidelines until such time as they are revised again by HUD.

Received – December 12, 2012

Effective – December 12, 2012

# 1. Benefit low and moderate income persons

## **Must meet one of four:**

- **Area Benefit Activities**
  - Only if 51% of area residents are LMI persons
- **Limited Clientele Activities**
  - If the activity is designed to benefit a specific group of people that are documented or presumed by HUD to be LMI persons
- **Housing Activities**
  - If the units are occupied by LMI persons upon completion
- **Job Creation or Retention**
  - **Must meet one of three criteria:**
    - The neighborhood where the jobs are created is a LMI area
    - The business being assisted predominately serves LMI persons
    - The job created or retained are available or filled by LMI persons

# Activities that benefit low and moderate-income persons

- Area based:
  - Street improvements
  - Water and sewer improvements
  - Neighborhood facilities
- Limited Clientele (Presumed LMI group by HUD)
  - Abused children
  - Elderly persons
  - Battered spouses
  - Homeless persons
  - Severely disabled adult persons

## 2. Aid in the Prevention or Elimination of Slum's or Blight

### **Must meet at least one:**

- The area must be officially designated by the grantee as blighted, or deteriorated/deteriorating and the area must meet the state/local definition of slum, blighted, or deteriorated/deteriorating
- Address Slum/blight on a spot basis by preventing the spread of blight to adjacent properties or areas (there are limited eligible activities)
- Address slum/blight in an Urban Renewal Areas

# Examples

- Acquisition and clearance of blighted properties
- Commercial revitalization
- Treatment of toxic materials on property to enable it to be redeveloped for a specific use

## 3. Urgent Need

### **Must meet all three:**

- Pose a serious and immediate threat to the health or welfare of the community,
- Are of recent origin or recently became urgent, (if it became critical within 18 months preceding the state grant recipient's certification)
- Other sources of funding are not available

# Examples of Urgent Need

- Flood
- Earthquake
- Mudslide
- Tornado

# Eligible Activities

- Acquisition of Real Property
- Public Facilities and Improvements and Privately-Owned Utilities
- Clearance, Rehabilitation, Reconstruction, and Construction of Buildings (Including Housing)
- Public Services
- Planning and Capacity Building
- Program Administration
- Activities Carried Out through Nonprofit Development Organizations
- Economic Development Assistance to For-Profit Business
- Housing Services
- Assistance to Institutions of Higher Education
- Microenterprise Assistance
- Homeownership Assistance

# Non-exhaustive List of Eligible Public Services:

- Child care
- Health care
- Job training/education programs
- Recreation programs
- Education programs
- Public safety services
- Energy conservation counseling and testing
- Homeownership assistance
- Fair housing counseling
- Services for the elderly
- Drug abuse counseling/treatment
- Emergency subsistence-type grants for up to three months
- Services for homeless persons
- Operating and maintenance costs for the portion of a facility in which public services are delivered are also eligible, even if the services themselves are not CDBG-assisted
- Purchase or lease of furnishings, equipment, or other personal property needed for an eligible services is eligible

# Eligible Economic and Property Related Activities

- Acquisition, construction rehabilitation, or installation of commercial or industrial buildings or railroad spurs
- Grants, loans, loan guarantees, interest subsidies to businesses
- Administrative costs directly related to economic development projects
- Special activities by Community-Based Development Organizations that are part of a broader effort to revitalize a neighborhood
- Assistant to Micro-enterprises, such as loans, grants technical assistance, or supportive services
- Acquisition of land and or buildings
- Disposition of land or buildings
- Installation or construction of public facilities
- Clearance and demolition
- Interim assistance for limited activities in deteriorated areas that require immediate action
- Completion of urban renewal projects
- Housing services in support of the HOME program, such as pre-purchase counseling or administrative costs to operate a tenant based rental assistance program
- Acquisition, construction, installation, or improvements of privately owned utilities
- Homeownership assistance
- Rehabilitation of properties
- Historic preservation

# Ineligible Activities

- Buildings for general conduct of government
- General local government expenses
- Political activities - including voter registration
  - However, a building can be used by political organizations if all organizations have equal access to the building and are charged equally
- Purchase of equipment
  - Exceptions include
    - Fire protection equipment
    - If the item constitute all or part of a public service –such as a van for a disadvantaged youth program
    - Some exceptions for economic development activity

# More Ineligible Activities

- Operating and maintenance expenses
  - Exception being for Public Service
- New housing – unless undertaken by qualifying CBDO (Community –Based Development Organization)
- Income Payments – “a series of subsistence-type grant payments”

# What's in Your Files?

IDIS

What is it?

Integrated Disbursement and Information System

- Reporting system for HUD
- Accomplishments and Funding

- 03T - Operating Costs of Homeless/AIDS Patients Programs

- Grantee/PJ Activity ID:

- 12-PS-07

- IDIS Activity ID:

- 1866

- Activity Name:

- CHUM Emergency Shelter

- Activity Owner

- DULUTH, MN

- Program Year/IDIS Project ID:

- 2012/17

- Project Title:

- CHUM Emergency Shelter and Stabilization Services

- Accomplishments for Program Year: (tip)

- 2012

- Select Another Year:

- 2012

- 

- National Objective:

- LMC

## Direct Benefit Data by Persons

Race/Ethnicity		
Race	Total	Hispanic/Latino
White	822	17
Black/African American	365	
Asian	2	
American Indian/Alaskan Native	287	
American Indian/Alaskan Native & White	49	
Asian & White	5	
Black/African American & White	17	
Amer. Indian/Alaskan Native & Black/African Amer.	18	
Other multi-racial	1	
<b>Totals</b>	<b>1566</b>	<b>17</b>

Income Levels

Income Levels	
	<b>Total</b>
<b>Extremely Low</b>	1566
<b>Low</b>	
<b>Moderate</b>	
<b>Non-Low/Moderate</b>	
<b>Totals</b>	1566
<b>Percent Low/Mod</b>	100 %

- Funding:

- Funds from HUD are entered
- Connected to the IDIS #
- City Auditor's Office uses the IDIS # to make the draws

- Where does the information go:
- The 2012 Consolidated Annual Performance and Evaluation Report (CAPER)

**2012 CONSOLIDATED ANNUAL PERFORMANCE &  
EVALUATION REPORT (CAPER)  
ADDENDUM**

1. 2012 Summary of Activities Report (GPR) - C04PR03
2. Summary of Accomplishments Report – CO4PR08, CO4PR10 and CO4PR23
3. Financial Summary (4949.3) C04PR26
4. 2012 Status of HOME Activities Report - C04PR 22
5. Status of 2012 HOME Grants Report - C04PR27
6. Status of 2012 Community Housing Development Organization Funds by Fiscal Year Report - C04PR25
7. HUD 40107-A Match Report on HOME Funds – CO4PR33
8. Consolidated Annual Performance and Evaluation Report (CAPER) - C04PR06
9. Program Income (WKS) C04PR09
10. CDBG Performance Measurement Report – CO4PR83
11. HOME Housing Performance Report – CO4PR85
12. HRA Onsite Inspection Report
13. ESG Financial Summary Report-CO4PR91

# What's in Your Files?

Housing/HOME Programs

A series of horizontal lines in teal and white colors, extending from the right side of the slide towards the center, positioned below the subtitle.

# HOME Rental Property Owners/Managers

What does the City require that you document in your files that HUD doesn't?

# HOME Rental Developers

What documentation does the CD Office keep in our files, that aren't required to be in the developer's file, but would be found in the HRA's, Eco3's and AEOA's files?

# Homebuyer Programs

The income eligibility of the homebuyer has to be dated when?

# Homeowner Rehab

Name two items that are required in a HOME SF rehab file that aren't required in CDBG.

# Weatherization

What does HUD require you have the file to document energy savings?

# Rental Rehab

What documentation would be required in some rental rehab files, that you will never find in single family rehab files?

# Housing Programs

What documentation will you always find in Housing files that you may or may not find in the files of other programs?

# Home/CDBG- Housing

- HOME : Homeowner Rehab, Rehab and Resale, and TBRA, - **contract year and number**
- CDBG- Single unit rehab-**addresses**

# Home/CDBG- Housing

- CDBG- Multifamily Rehab
- -loan or grant
- -if loan, need amount, if deferred and amortization period
- Need **contract year and number**

# Home/CDBG- Housing

- CDBG- Multifamily Rehab
- -need **addresses!**
- the number of **addresses need to match accomplishments-** HRC- new quarterly report

# What's in Your Files?

Emergency Solutions Grant  
Programs

# Match Documentation

- Submit a copy of funding award letter(s) from other funders (for same programs funded by ESG)

# ESG Prevention

- Documentation of At-Risk Status
- Record keeping requirements

# Rapid Re-housing

- Documentation of Homelessness
- Record keeping requirements

# Homeless Management Information System (HMIS)

# What's in your Files?

Emergency Solutions Grant (ESG)

Big Changes- unlike Emergency Shelter and CDGB- Not agency based- **Activity Based and Cumulative**

**2011 and 2012- no accomplishment just dollars**

## CR-65 - Persons Assisted

### 4. Persons Served

#### 4a. Complete for Homelessness Prevention Activities

Number of Persons in Households	Total
Adults	0
Children	0
Don't Know/Refused	0
Missing Information	0
<b>Total</b>	<b>0</b>

Table 1 – Household Information for Homeless Prevention Activities

#### 4b. Complete for Rapid Re-Housing Activities

Number of Persons in Households	Total
Adults	0
Children	0
Don't Know/Refused	0
Missing Information	0
<b>Total</b>	<b>0</b>

Table 2 – Household Information for Rapid Re-Housing Activities

**4c. Complete for Shelter**  
**Table 3 – Shelter Information**

<b>Number of Persons in Households</b>	<b>Total</b>
Adults	1,540
Children	481
Don't Know/Refused	0
Missing Information	0
<b>Total</b>	<b>2,021</b>

#### 4d. Totals for all Persons Served with ESG

Table 4 – Household Information for Persons Served with ESG

<b>Number of Persons in Households</b>	<b>Total</b>
Adults	1,540
Children	481
Don't Know/Refused	0
Missing Information	0
<b>Total</b>	<b>2,021</b>

## 5. Gender—Complete for All Activities

Table 5 – Gender Information

	<b>Total</b>
Male	762
Female	691
Transgendered	0
Unknown	568
<b>Total</b>	<b>2,021</b>

## 6. Age—Complete for All Activities

Table 6 – Age Information

	Total
Under 18	544
18-24	0
Over 24	1,449
Don't Know/Refused	28
Missing Information	0
<b>Total</b>	<b>2,021</b>

## 7. Special Populations Served—Complete for All Activities

### Number of Persons in Households

Subpopulation	Total Persons Served – Prevention	Total Persons Served – RRH	Total Persons Served in Emergency Shelters	Total
Veterans		0	191	191
Victims of Domestic Violence			696	696
Elderly	0	0	0	0
HIV/AIDS	0	0	0	0
Chronically Homeless	239	0	0	239

# 7. Special Populations Served—Complete for All Activities

## Number of Persons in Households

Persons with Disabilities:				
Severely Mentally Ill	0	0	0	0
Chronic Substance Abuse	0	0	0	0
Other Disability	0	0	0	0
Total (Unduplicated if possible)	0	0	0	0

## 8. Shelter Utilization

Number of New Units - Rehabbed	0
Number of New Units - Conversion	0
Total Number of bed-nights available	244
Total Number of bed-nights provided	244
Capacity Utilization	100.00%

## 11a. ESG Expenditures for Homelessness Prevention

	Dollar Amount of Expenditures in Program Year		
	FY 2009	FY 2010	FY 2011
Expenditures for Rental Assistance	0	0	0
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	0	0	0
Expenditures for Housing Relocation & Stabilization Services - Services	0	0	0
Expenditures for Homeless Prevention under Emergency Shelter Grants Program	0	0	0
<b>Subtotal Homelessness Prevention</b>	<b>0</b>	<b>0</b>	<b>0</b>

## 11b. ESG Expenditures for Rapid Re-Housing

	Dollar Amount of Expenditures in Program Year		
	FY 2009	FY 2010	FY 2011
Expenditures for Rental Assistance	0	58,477	84,378
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	0	0	0
Expenditures for Housing Relocation & Stabilization Services - Services	0	0	0
Expenditures for Homeless Prevention under Emergency Shelter Grants Program	0	0	0
<b>Subtotal Rapid Re-Housing</b>	<b>0</b>	<b>58,477</b>	<b>84,378</b>

## 11c. ESG Expenditures for Emergency Shelter

	Dollar Amount of Expenditures in Program Year		
	FY 2009	FY 2010	FY 2011
Essential Services	0	0	0
Operations	120,000	120,000	114,920
Renovation	0	0	0
Major Rehab	0	0	0
Conversion	0	0	0
<b>Subtotal</b>	<b>120,000</b>	<b>120,000</b>	<b>114,920</b>

## 11e. Total ESG Grant Funds-

<b>Total ESG Funds Expended</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
529,595	125,000	188,232	216,363

## 11f. Match Source

	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
Other Non-ESG HUD Funds	0	0	0
Other Federal Funds	580,038	529,843	664,970
State Government	250,844	999,807	1,059,285
Local Government	0	0	0
Private Funds	233,750	25,000	370,547
Other	185,769	155,145	177,683
Fees	0	0	0
Program Income	0	0	0
<b>Total Match Amount</b>	<b>1,250,401</b>	<b>1,709,795</b>	<b>2,272,485</b>

## 11g. Total

**Table 15 - Total Amount of Funds Expended on ESG  
Activities**

<b>Total Amount of Funds Expended on ESG Activities</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>
5,762,276	1,375,401	1,898,027	2,488,848

# What next for ESG?

- Accomplishments and dollars for the same year?
- Meanwhile- new quarterly report...
  - And/or HMIS?

# What's in Your Files?

Public Services

A decorative graphic consisting of several horizontal lines of varying lengths and colors (teal, light blue, white) extending from the right side of the slide towards the center.

# Documentation for Quarterly and Year-End Reports

- **Persons Served (report quarterly)**
  - Number of unduplicated persons who received service during the reporting period
- **Race (report quarterly)**
  - 10 Categories of race
  - Identify persons of Hispanic Ethnicity by race
- **Performance measures (report at year end)**
  - Different performance measures for different activities  
(See Exhibit A for specific performance measures)
- **Limited English Proficiency (year-end report)**
  - Language spoken
  - Action taken
- **Reasonable Accommodation for Disability (year-end report)**
  - Action requested
  - Action taken

**EXAMPLE INTAKE SHEET-CDBG REQUIREMENTS**

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

YOUR FULL NAME: \_\_\_\_\_ RACE CODE: \_\_\_\_\_ HISPANIC ETHNICITY, YES OR NO: \_\_\_\_\_

SPOUSE/PARTNER NAME: \_\_\_\_\_ RACE CODE: \_\_\_\_\_ HISPANIC ETHNICITY, YES OR NO: \_\_\_\_\_

List others also requesting food today:

NAME \_\_\_\_\_ RACE CODE: \_\_\_\_\_ HISPANIC ETHNICITY, YES OR NO: \_\_\_\_\_

NAME \_\_\_\_\_ RACE CODE: \_\_\_\_\_ HISPANIC ETHNICITY, YES OR NO: \_\_\_\_\_

NAME \_\_\_\_\_ RACE CODE: \_\_\_\_\_ HISPANIC ETHNICITY, YES OR NO: \_\_\_\_\_

NAME \_\_\_\_\_ RACE CODE: \_\_\_\_\_ HISPANIC ETHNICITY, YES OR NO: \_\_\_\_\_

NAME \_\_\_\_\_ RACE CODE: \_\_\_\_\_ HISPANIC ETHNICITY, YES OR NO: \_\_\_\_\_

NAME \_\_\_\_\_ RACE CODE: \_\_\_\_\_ HISPANIC ETHNICITY, YES OR NO: \_\_\_\_\_

**RACE CODES**

- 1- White
- 2-Black/African American
- 3-Asian
- 4-American Indian/Alaska Native
- 5-Native Hawaiian/Pacific Islander
- 6- American Indian/Alaska Native & White
- 7-Asian & White
- 8- Black/African American & White
- 9-American Indian/Alaska Native & Black
- 10- Other Multi-Racial (not identified above)

ADDRESS: \_\_\_\_\_ ZIP CODE: \_\_\_\_\_

Circle your family size and the income range next to your family size that best describes your annual family income before taxes:

Family Size	Yearly Income at:	Yearly Income at:	Yearly Income at:	Yearly Income at:
1	\$12,950 or less	\$21,600 or less	\$34,550 or less	More than \$34,550
2	\$14,800 or less	\$24,700 or less	\$39,500 or less	More than \$39,500
3	\$16,650 or less	\$27,800 or less	\$44,450 or less	More than \$44,450
4	\$18,500 or less	\$30,850 or less	\$49,350 or less	More than \$49,350
5	\$20,000 or less	\$33,350 or less	\$53,150 or less	More than \$53,300
6	\$21,500 or less	\$35,800 or less	\$57,250 or less	More than \$57,250
7	\$22,950 or less	\$38,300 or less	\$61,200 or less	More than \$61,200
8	\$24,450 or less	\$40,750 or less	\$65,150 or less	More than \$65,150

**\*These income categories are the same as the 2013 HUD Income Guidelines and match up with the income categories on the Quarterly Report that you submit to us.**

**Add your other necessary agency specific information HERE.**

I certify that the above information on this form is accurate and complete. By signing below I give my consent to share this information with various funding sources to help meet funding requirements.

Signature \_\_\_\_\_

Last Revised: Enter date

# Income Verification

- Required to meet the national objective
- Some presumed LMI persons
- Activity could be conducted in LMI Neighborhood with over 51% LMI to qualify
- If under 100 served agency will have to verify income (unless in presumed category)
  - If your organization doesn't collect information on income such as W-4 or Tax Return they must collect names and social security so that the persons income status can be verified by St. Louis County

# What's in Your Files?

Economic Development Programs

A series of horizontal lines of varying lengths and colors (teal, light blue, white) extending from the right side of the text area across the top of the slide.

# Economic Development

- Is this an Eligible Activity?
  - Direct Financial Assistance to For-Profits
  - Economic Development Technical Assistance
- How are you meeting the National Objective?
  - LMI

# What's in Your Files?

Public Facility Projects

A series of horizontal lines of varying lengths and colors (teal, light blue, white) extending from the right side of the slide.

# Public Facility Projects

- Is this an Eligible Activity?
- How are you meeting the National Objective?
  - LMA
  - LMC

# What's in Your Files?

Quarterly Reports

A series of horizontal lines in teal and white colors, extending from the right side of the slide towards the center, positioned below the main title and above the subtitle.

# Resources

- Income Verification (the purple book)
  - [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/affordablehousing/library/modelguides/2005/1780](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/affordablehousing/library/modelguides/2005/1780)
- [www.HUD.gov](http://www.HUD.gov)
- Community Development
  - [http://www.duluthmn.gov/community\\_development/index.cfm](http://www.duluthmn.gov/community_development/index.cfm)

# What's in Your Files?

Questions?

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