

# Public Service Announcement

In order to maintain the safety of County residents, the Watauga County Board of Commissioners Meeting scheduled for 5:30 P.M. on Tuesday, October 20, 2020, will be conducted electronically. The Board Packet, including the agenda, is available on the County's website at:

[http://www.wataugacounty.org/App\\_Pages/Dept/BOC/boardpacket.aspx](http://www.wataugacounty.org/App_Pages/Dept/BOC/boardpacket.aspx)

**The public may access this meeting by**

**Calling: +1 929 205 6099 and entering the following:**

**Meeting ID: 867 8594 2099**

**Password: 12345**

**OR**

**Clicking the following link:**

<https://us02web.zoom.us/j/86785942099?pwd=bVptNTB2SWRLUmFyT1VpRnpOQ3dnUT09>

The County is making every effort to ensure that the public is able to, not only listen to the meeting, but also to participate in the public comments portion. You may submit public comment by email to: [public.comments@watgov.org](mailto:public.comments@watgov.org) or by mail to:

Clerk to the Board of Commissioners  
814 West King Street, Suite 205  
Boone, NC 28607

Public comments received by 5:00 P.M. on Monday, October 19, 2020, will be available to view by the time of the meeting (October 20, 2020, at 5:30 P.M.) on the County's website at:

[http://www.wataugacounty.org/App\\_Pages/Dept/BOC/boardpacket.aspx](http://www.wataugacounty.org/App_Pages/Dept/BOC/boardpacket.aspx)

**This meeting also includes a public hearing to allow citizen comment on the submission of an application for 2020 Community Development Block Grant (CDBG) funds for the Coronavirus Program.** In order to speak during the public hearing, please call 828-265-8000 by 5:00 P.M. on Monday, October 19, 2020, and sign up by giving your name and either your onscreen name or phone number from which you will be calling to participate. Once the public hearing is called to order, the Chairman will call the name of those signed up when it is their turn to speak. Comments on the public hearing may also be submitted, through Wednesday, October 21, 2020, by email to: [public.comments@watgov.org](mailto:public.comments@watgov.org) or by mail to: Clerk to the Board of Commissioners, 814 West King Street, Suite 205, Boone, NC 28607.

A recording of this meeting will be available by 5:00 P.M. on Wednesday, October 21, 2020, on the County's website at:

[http://www.wataugacounty.org/App\\_Pages/Dept/BOC/boardpacket.aspx](http://www.wataugacounty.org/App_Pages/Dept/BOC/boardpacket.aspx)

**TENTATIVE AGENDA & MEETING NOTICE  
BOARD OF COUNTY COMMISSIONERS**

**TUESDAY, OCTOBER 20, 2020  
5:30 P.M.**

**ELECTRONIC MEETING ORIGINATING FROM THE  
WATAUGA COUNTY COMMUNITY RECREATION CENTER  
COMMUNITY ROOM**

<b>TIME</b>	<b>#</b>	<b>TOPIC</b>	<b>PRESENTER</b>	<b>PAGE</b>
5:30	1	CALL REGULAR MEETING TO ORDER		
	2	APPROVAL OF MINUTES: October 6, 2020, Regular Meeting October 6, 2020, Closed Session		1
	3	APPROVAL OF THE OCTOBER 20, 2020, AGENDA		11
5:35	4	PUBLIC HEARING TO ALLOW CITIZEN COMMENT ON THE SUBMISSION OF AN APPLICATION FOR 2020 COMMUNITY DEVELOPMENT BLOCK GRANT FUNDS FOR THE CORONAVIRUS PROGRAM	MR. JOE FURMAN	13
5:40	5	PROPOSED RESOLUTION FOR WATAUGA COUNTY APPLICATION FOR COMMUNITY DEVELOPMENT BLOCK GRANT FUNDING FOR THE WATAUGA COVID RELIEF PROJECT	MR. JOE FURMAN	91
5:45	6	CORONAVIRUS (COVID-19) COMMUNITY UPDATE	MS. JENNIFER GREENE	93
5:50	7	PROJECT ON AGING ANNUAL REPORT	MS. ANGIE BOITNOTTE	95
5:55	8	TAX MATTERS A. Monthly Collections Report B. Refunds and Releases	MR. LARRY WARREN	105 107
6:00	9	PROPOSED INMATE CATASTROPHIC INSURANCE CONTRACT	MS. MISTY WATSON	119
6:05	10	MISCELLANEOUS ADMINISTRATIVE MATTERS A. Community Recreation Center Update B. Boards and Commissions C. Announcements	MR. DERON GEOUQUE	123 125 127
6:10	11	PUBLIC COMMENT	BY WRITTEN SUBMISSION	128
6:15	12	BREAK		128
6:20	13	CLOSED SESSION Attorney/Client Matters – G. S. 143-318.11(a)(3) Personnel Matters – G. S. 143-318.11(a)(6)		128
6:30	14	ADJOURN		

**AGENDA ITEM 2:**

**APPROVAL OF MINUTES:**

October 6, 2020, Regular Meeting

October 6, 2020, Closed Session

**DRAFT****MINUTES****WATAUGA COUNTY BOARD OF COMMISSIONERS  
TUESDAY, OCTOBER 6, 2020**

The Watauga County Board of Commissioners held a regular meeting, as scheduled, on Tuesday, October 6, 2020, at 8:30 A.M. remotely with the meeting originating in the Commissioners' Conference Room located in the Watauga County Administration Building, Boone, North Carolina.

Chairman Welch called the remote electronic meeting to order at 8:37 A.M. The following were present:

**PRESENT VIA ELECTRONIC MEANS:**

John Welch, Chairman  
 Billy Kennedy, Vice-Chairman  
 Larry Turnbow, Commissioner  
 Charlie Wallin, Commissioner  
 Perry Yates, Commissioner  
 Anthony di Santi, County Attorney  
 Deron Geouque, County Manager  
 Anita J. Fogle, Clerk to the Board

Commissioner Wallin opened with a prayer and Commissioner Turnbow led the Pledge of Allegiance.

**APPROVAL OF MINUTES**

Chairman Welch called for additions and/or corrections to the September 15, 2020, regular meeting and closed session minutes.

Vice-Chairman Kennedy, seconded by Commissioner Yates, moved to approve the September 15, 2020, regular meeting minutes as presented.

VOTE: Aye-5  
 Nay-0

Vice-Chairman Kennedy, seconded by Commissioner Yates, moved to approve the September 15, 2020, closed session minutes as presented.

VOTE: Aye-5  
 Nay-0

**APPROVAL OF AGENDA**

Chairman Welch called for additions and/or corrections to the October 6, 2020, agenda.

County Manager Geouque requested to add Land Acquisition per, G. S. 143-318.11(a)(5)(i) and possible action after closed session.

*[Clerk's Note: No action was required or considered after closed session.]*

Commissioner Turnbow, seconded by Commissioner Yates, moved to approve the October 6, 2020, agenda as amended.

VOTE: Aye-5  
Nay-0

**PUBLIC HEARING TO ALLOW CITIZEN COMMENT ON THE SUBMISSION OF AN APPLICATION FOR 2020 COMMUNITY DEVELOPMENT BLOCK GRANT FUNDS FOR THE CORONAVIRUS PROGRAM**

Mr. Joe Furman stated that the North Carolina Department of Commerce announced the Community Development Block Grant Coronavirus Program (CDBG-CV) through which the County was eligible for up to \$900,000. Mr. Furman stated that he had been soliciting potential projects with several agencies and organizations. Ms. Michelle Ball with High Country Council of Governments was also working with Mr. Furman on the grant program. The application process required two public hearings with one early in the process and a second one after a project and budget were identified.

The adoption of a Citizen Participation Plan, applicable specifically to the CDBG-CV program, was required due to the County's hearings currently being conducted electronically. Commerce staff required that the Plan, including the provisions for electronic hearings, be adopted prior to the first hearing. The Plan was adopted at the September 15 meeting.

Mr. Furman stated that he was staying informed with the HOPE and CARES programs. Mr. Furman planned and hoped to transition existing program systems in place with grant funds, if received.

Commissioner Turnbow, seconded by Commissioner Wallin, moved to call the public hearing to order at 8:47 A.M.

VOTE: Aye-5  
Nay-0

As there was no one signed up to speak, Commissioner Turnbow, seconded by Commissioner Wallin, moved to close the public hearing at 8:48 A.M.

VOTE: Aye-5  
Nay-0

Written public comments would be accepted in regards to the public hearing through Wednesday, October 7, 2020.

Mr. Furman requested the Board schedule the second required public hearing for the CDBG-CV program for the October 20, 2020, meeting.

Vice-Chairman Kennedy, seconded by Commissioner Turnbow, moved to schedule a public hearing to allow for citizen comment on the submission of an application for 2020 Community Development Block Grant funds for the Coronavirus Program (CDBG-CV) at 5:30 P.M. on Tuesday, October 20, 2020.

VOTE: Aye-5  
Nay-0

Mr. Furman also stated that a resolution would be presented at the October 20, 2020, meeting in regards to the CDBG-CV program.

**CORONAVIRUS (COVID-19) COMMUNITY UPDATE**

Ms. Jennifer Greene, AppHealthCare Director, provided an update on the Coronavirus (COVID-19). The report was for information only and, therefore, no action was required.

**PROPOSED COVENANTS FOR THE BROOKSHIRE PARK RESTORATION PROJECT**

Mr. Joe Furman, Planning and Inspections Director, presented restrictive covenants on the .25 acre lot in connection with the New River Conservancy’s Clean Water Management Trust Fund (CWMTF) project consisting of streambank restoration of the South Fork of the New River at Brookshire Park. These covenants were the same as covenants/conservation easements adopted for previous CWMTF wetlands restoration projects at Ted Mackorell Soccer Complex (TMSC) near Brookshire Road Park. Mr. Furman stated that the covenants were developed by the County Attorney and adoption was required by the grant.

Vice-Chairman Kennedy, seconded by Commissioner Turnbow, moved to adopt the covenants/conservation easements as presented by Mr. Furman.

VOTE: Aye-5  
Nay-0

**BID AWARD REQUEST FOR COMPLEX I SOFTBALL FIELD FENCING**

County Manager Geouque, on behalf of Mr. Robert Marsh, Maintenance Director, presented the following bids for fencing at the Complex I softball field:

Bidder	Amount
Triangle Fence – Rhonda, NC	\$27,032
McCall Fence – Gray, TN	\$31,578
AFC – Hickory, NC	\$39,971

The fence would be located at the field near the new Community Recreation Center (CRC). Funds for the project were included with the replacement of the tennis courts and basketball/pickleball fields at the CRC.

Vice-Chairman Kennedy, seconded by Commissioner Yates, moved to award the contract to Triangle Fence Company in the amount of \$27,032.

VOTE: Aye-5  
Nay-0

### **PROPOSED ADDITIONAL APPROPRIATION OF STATE FUNDS FOR SENIOR CENTERS**

Ms. Angie Boitnotte, Project on Aging Director, stated that additional Senior Center General Purpose funding was available for the County's two senior centers in the total amount of \$14,020 which required a local match of twenty-five percent (25%). The L. E. Harrill Senior Center, as a Center of Excellence, was eligible to receive \$10,515 with a local match of \$3,505. The Western Watauga Community Center was eligible to receive \$3,505 with a local match of \$1,168. The total local match required, in the amount of \$4,673 was present in the current Project on Aging budget.

Commissioner Turnbow, seconded by Commissioner Wallin, moved to accept the additional funding in the amount of \$14,020 and the twenty-five percent (25%) local match.

VOTE: Aye-5  
Nay-0

### **EMERGENCY SERVICES MATTERS**

#### ***A. Proposed Acceptance of Domestic Preparedness Region Project***

Mr. Will Holt, Emergency Services Director, requested the acceptance of the Fiscal Year 2020 Homeland Security Grant Program (HSPG) in the amount of \$26,000 for the purchase of nine Interoperable Redundant Communications Platforms. Mr. Holt stated that County match was not required and additional funds had been budgeted for the data plan requirements. The nine platforms would be dispersed across the Domestic Preparedness Region with Watauga County retaining a platform as part of sponsoring the grant.

Commissioner Turnbow, seconded by Vice-Chairman Kennedy, moved to accept the grant for \$26,000 from the Homeland Security Grant Program.

VOTE: Aye-5  
Nay-0

***B. Proposed Acceptance of Communications Grant on Behalf of North Carolina Emergency Management (NCEM)***

Mr. Holt requested the acceptance of the Fiscal Year 2020 Homeland Security Grant Program (HSGP) Grant as a subrecipient on behalf of North Carolina Emergency Management (NCEM) for their use in replacing antiquated radios.

The grant, in the amount of \$307,000.00, and with no county match and would be executed by the NCEM Communications Branch. In exchange for the County's assistance, priority would be given to replace the Western Branch radios first; specifically, Area 12 which covers Watauga County.

Vice-Chairman Kennedy, seconded by Commissioner Turnbow, moved to accept the grant and serve as the subrecipient on behalf North Carolina Emergency Management.

VOTE: Aye-5  
Nay-0

***C. Bid Award Request for Rich Mountain Tower Generator Installation***

Mr. Holt stated that the generator for the Rich Mountain communications tower was destroyed by lightning leaving the site with only a battery back-up. Mr. Holt requested approval for the purchase of a replacement back-up generator and transfer switch in the amount of \$63,201.33. The installation quote was from the State contract vendor who was also the County's current vendor for all tower construction operations. An insurance claim was filed; however, adequate funds were also already budgeted as the site was scheduled for upgrades. The budgeted funds would now cover any expenses not paid by insurance. When asked, Mr. Holt responded that the generator used diesel fuel. The State had already converted to using diesel fuel as it was easier in emergency situations to get the fuel to the generators which had built-in block heaters.

Commissioner Turnbow, seconded by Commissioner Yates, moved to approve the \$63,201.33 contract as presented by Mr. Holt.

VOTE: Aye-5  
Nay-0

**MISCELLANEOUS ADMINISTRATIVE MATTERS**

***A. RFQ for Architectural Services for the Proposed Valle Crucis School***

County Manager Geouque stated that the school system recently closed on the property where the future Valle Crucis Elementary School would be located. Mr. Geouque presented a proposed Request for Qualifications (RFQ) for architectural services. The contract would be structured in phases so that the County could cease the process in the event that the County's budget or economic conditions warranted. The main focus would be on design, programming, and cost analysis. Funds were set aside to cover the architectural services.

Commissioner Turnbow, seconded by Commissioner Wallin, moved to release the RFQ for architectural services for the new Valle Crucis Elementary School.

VOTE: Aye-5  
Nay-0

***B. Recommended Contract Award for Employee Medical***

County Manager Geouque stated that renewal rates were received for medical, dental, and life insurance benefits. The initial renewal rate received from CIGNA for medical insurance was a 28.37% increase. Mr. Geouque stated that further negotiations and analysis of additional claims reduced the increase to 4.99%. Mr. Geouque stated that premiums for Dental Insurance, through Ameritas Dental, and Life Insurance, through Symetra Financial, would remain unchanged due to the current rate lock.

Mr. Geouque stated that staff recommended CIGNA's Level Funding plan for the County's medical insurance with a 4.99% increase and for the County to fund \$1,000 into each employee's Health Savings Account (HSA) account. Staff further recommended Ameritas Dental and Symetra Financial for dental and life insurance. Adequate funds were budgeted to cover the renewal rates.

Vice-Chairman Kennedy, seconded by Commissioner Wallin, moved to:

- approve CIGNA's medical plan with a 4.99% increase; and
- fund \$1,000 into each employee's Health Savings Account (HSA); and
- approve Ameritas Dental for dental insurance at the current rate lock; and
- approve Symetra Financial for life insurance at the current rate lock.

VOTE: Aye-5  
Nay-0

***C. October and November Meeting Schedules***

County Manager Geouque stated that the Board of Elections currently had the Commissioners' Board Room scheduled for one-stop voting on October 20, 2020, which was the date for the next Commissioners' meeting. Also, Election Day is on November 3, 2020, which is the date of the Board's first regular November meeting.

County Manager Geouque stated that staff recommended moving the location of the October 20, 2020, meeting, if the meeting was to be held in person, and canceling the November 3, 2020, meeting. The Governor's limit of twenty-five people as maximum capacity for indoor meetings was still in place due to the COVID-19 pandemic.

Commissioner Turnbow, seconded by Commissioner Yates, moved to:

- hold the October 20, 2020, regular meeting as a hybrid meeting originating from the Community Room at the new Community Recreation Center with Commissioners, who wished to, attend in person (while properly distanced) and Commissioner who wished, along with the public and presenters, attend the meeting electronically through Zoom; and

- cancel the November 3, 2020, regularly scheduled meeting due to it being Election Day with the Board of Commissioners' Room being used as an official polling place.

VOTE: Aye-5  
Nay-0

#### ***D. Boards and Commissions***

County Manager Geouque presented the following for consideration:

##### *Adult Care Home Community Advisory Committee*

Ms. Stevie John, High Country Council of Government's Regional Long-Term Care Ombudsman, had submitted Ms. Evelina Idol and Ms. Pat Taylor for reappointment to the Watauga County Adult Care Home Community Advisory Committee. Both were willing to continue to serve for three-year terms if so appointed. These were first readings.

The County Manager stated that Ms. John was also sad to report that Mr. Harold Eller, a member of the Adult Care Home Community Advisory Committee had passed away and, therefore, requested his name be removed from the roster.

Commissioner Turnbow, seconded by Vice-Chairman Kennedy, moved to waive the second reading and reappoint Ms. Evelina Idol and Ms. Pat Taylor to the Watauga County Adult Care Home Community Advisory Committee.

VOTE: Aye-5  
Nay-0

Commissioner Turnbow, seconded by Vice-Chairman Kennedy, moved to officially remove Mr. Harold Eller from the Watauga County Adult Care Home Community Advisory Committee.

VOTE: Aye-5  
Nay-0

#### ***E. Announcements***

County Manager Geouque announced the following:

- The October 20, 2020, Board of Commissioners' meeting would be a hybrid meeting with Board members, who wished to, attending the meeting in person in the Community Room of the new Community Recreation Center (to allow for proper distancing) and Board members, who wished to, along with presenters and the public attending the meeting electronically through Zoom.
- The November 3, 2020, Board meeting has been cancelled due to it being Election Day and the Commissioners' Board Room being an official polling site.

**PUBLIC COMMENT**

A public comment had been received by the deadline time from Mr. Noah Gordon and could be viewed on the County's website.

**CLOSED SESSION**

At 9:42 A.M., Commissioner Wallin, seconded by Vice-Chairman Kennedy, moved to enter Closed Session to discuss Attorney/Client Matters, per G. S. 143-318.11(a)(3) and Land Acquisition, per G. S. 143-318.11(a)(5)(i). The following lawsuits were included in discussion during closed session: The Town of Boone lawsuit regarding sales tax distribution, the lawsuit against the Town of Boone regarding the water allocation, and the Rainbow Trail Board of Adjustment Appeal.

VOTE: Aye-5  
Nay-0

Commissioner Yates, seconded by Commissioner Wallin, moved to resume the open meeting at 10:05 A.M.

VOTE: Aye-5  
Nay-0

**POSSIBLE ACTION AFTER CLOSED SESSION**

There was no action taken after closed session.

**ADJOURN**

Vice-Chairman Kennedy, seconded by Commissioner Turnbow, moved to adjourn the meeting at 10:05 A.M.

VOTE: Aye-5  
Nay-0

John Welch, Chairman

ATTEST:  
Anita J. Fogle, Clerk to the Board

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**AGENDA ITEM 3:**

**APPROVAL OF THE OCTOBER 20, 2020, AGENDA**

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**AGENDA ITEM 4:****PUBLIC HEARING TO ALLOW CITIZEN COMMENT ON THE SUBMISSION OF AN APPLICATION FOR 2020 COMMUNITY DEVELOPMENT BLOCK GRANT FUNDS FOR THE CORONAVIRUS PROGRAM****MANAGER'S COMMENTS:**

The NC Department of Commerce announced the Community Development Block Grant Coronavirus Program (CDBG-CV). The grant is on a first-come-first-serve basis and the County is eligible for up to \$900,000. Mr. Furman has been soliciting potential projects with several agencies/organizations. The application process requires two public hearings with one early in the process and a second one after a project and budget are identified.

Mr. Furman requested the Commissioners schedule a hearing for October 6<sup>th</sup>. The CDBG program requires adoption of a Citizen Participation Plan applicable specifically to the CDBG program; because the County's hearings are currently being conducted electronically, Commerce staff required that the Plan, including provisions for electronic hearings, be adopted prior to the first hearing. The Plan was adopted at the September 15<sup>th</sup> meeting.

Two public hearings are required for the grant and the first hearing was held on October 6, 2020. The second hearing has been scheduled for the October 20, 2020 meeting.

## WATAUGA COUNTY TO HOLD PUBLIC HEARING

Watauga County will be holding a public hearing to solicit citizen input on the submission of an application for 2020 Community Development Block Grant funds for the Coronavirus Program. The CDBG funds will be to used help Watauga prepare, prevent, and/or respond to the health and economic impacts of COVID-19. Activities will be designed to assist primarily the low- and moderate-income residents of the County. Watauga County will be holding a public hearing to solicit citizen input on the submission of an application for 2020 Community Development Block Grant funds for the Coronavirus Program for approximately \$900,000. The CDBG funds are proposed to be used to provide subsistence payments to families and individuals to prevent foreclosure, eviction, and utility disconnections attributable to the COVID-19 pandemic. The funds may also be used for food distribution, health care and mental health services, technology and broadband hot spot assistance, and emergency financial assistance to owners and employees of small businesses, also attributable to the pandemic.

The public hearing will be conducted electronically on Tuesday, October 20, 2020 at 5:30 pm through ZOOM and conference call. The live hearing can be accessed at <https://us02web.zoom.us/j/86785942099?pwd=bVptNTB2SWRLUmFyT1VpRnpoQ3dnUT9> The conference call number is 1-929-205-6099 Meeting ID: 867 8594 2099, Password: 12345. In order to speak during the public hearing, please call 828-265-8000 by 5:00 P.M. on Monday, October 19, 2020, and sign up by giving your name and either your onscreen name or phone number from which you will be calling to participate. Once the public hearing is called to order, the Chairman will call the name of those signed up when it is their turn to speak.

Due to public health and safety concerns amid the Covid-19 and Executive Order 163 restricting the number of persons allowed to gather in public places the meeting will be conducted remotely only. However, citizens are asked and encouraged to submit written comments on past and proposed use of CDBG funds. All interested citizens are encouraged to participate in the following ways:

1. Present your comments at the public hearing.
2. Send written comments to the Clerk to the Board at 814 West King Street, Suite 205, Boone, NC 28607 or at [public.comments@watgov.org](mailto:public.comments@watgov.org). All comments received on or before, October 21, 2020 will be made part of the official record.

Also, all citizens are encouraged to view and listen to the hearing online via live video. In addition, following the hearing, the recording of the public hearing will be made available.

If additional information is needed, please contact Joe Furman at (828) 265-8043, [joe.furman@watgov.org](mailto:joe.furman@watgov.org).

Persons with disabilities or who otherwise need assistance should contact Deron Geouque, at (828) 265-8000, [deron.geouque@watgov.org](mailto:deron.geouque@watgov.org) or Relay North Carolina #711 by 12:00 noon, October 19, 2020. Accommodations will be made for all who request assistance with participating in the public hearing.

This information is available in Spanish or any other language upon request. Please contact Deron Geouque, at (828) 265 -8000, [deron.geouque@watgov.org](mailto:deron.geouque@watgov.org) or at 814 West King Street, Boone, NC, for accommodations for this request.

Esta información está disponible en español o en cualquier otro idioma bajo petición. Por favor, póngase en contacto con Deron Geouque, at (828) 265-8000, [deron.geouque@watgov.org](mailto:deron.geouque@watgov.org) or at 814 West King Street, Boone, NC de alojamiento para esta solicitud.

John Welch, Chairman  
Watauga County Board of Commissioners

**Memorandum**

Date: September 9, 2020  
To: County Manager; Board of Commissioners  
From: Joe Furman  
RE: Grant possibility

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I received an announcement from the NC Department of Commerce of the Community Development Block Grant Corona Virus Program (CDBG-CV); the notice and guidelines are attached. The County may apply for up to \$900,000; funds will be awarded on a first-come-first-serve basis. I have been and will continue discussing potential projects with several agencies/organizations. The application process requires that two public hearings be conducted – one early in the process, and a second one later after a project and budget have been identified. Since time is of the essence, I request the Commissioners to schedule a hearing for October 6<sup>th</sup> so that one will be out of the way in case they decide to apply. The CDBG program requires adoption of a Citizen Participation Plan applicable specifically to the CDBG program; because the County's hearings are currently being conducted electronically, Commerce staff is requiring that the Plan, including provisions for electronic hearings, be adopted prior to the first hearing. I request adoption of that plan at the September 15<sup>th</sup> meeting, if the public hearing is scheduled. The recommended Plan is attached.

## CITIZEN PARTICIPATION PLAN

This plan describes how the Watauga County will involve citizens in the planning, implementation and assessment of the Community Development Block Grant (CDBG) program. The funds must be used for projects which benefit low and moderate-income persons and aids in the elimination and prevention of slums and blight. The program is intended to assist governments in understanding neighborhood improvement programs. The regulations give ultimate responsibility for the design and implementation of the program to local elected officials and require that citizens be given an opportunity to serve in a key advisory role to these elected officials.

### SCOPE OF CITIZEN PARTICIPATION

Citizens will be involved in all stages of the CDBG program, including program implementation, assessment of performance and design of changes in the Citizen Participation Plan. There will be three (3) general mechanisms for their involvement:

1. To serve as an advisory committee to the project;
2. To attend or hold public hearings or community meetings; and
3. To provide individual citizen efforts in the form of comments, complaints or inquiries submitted directly to the Program Administrators or designated Town official.

### PROGRAM IMPLEMENTATION

Citizen participation in program implementation will occur primarily through consultation with the County. The County will be asked to review and comment on specific guidelines for approved projects. They will also meet to review any program amendments, budget revisions and program modifications. All such changes will be discussed with the County and their comments considered prior to acting. If program amendments require approval from the North Carolina Department of Commerce, a public hearing shall be held, specifically on the amendment. Citizens may also be involved in implementation of projects specifically requiring citizen participation, such as self-help projects. Their roles will be defined as the project develops. Technical assistance will be available as needed.

### PROGRAM ASSESSMENT

Program assessment activities by citizens will occur in a variety of ways. A performance hearing will be held thirty to sixty (30 to 60) days prior to the start of planning for the next program year. The Program Amendment will be asked to provide citizen commentary for the Grantee Performance Report.

As a part of the orientation to the program offered at the public hearing, citizens will be invited to submit comments on all aspects of program performance through the program year. Comments should be submitted in writing to Joe Furman, Planning & Inspections Director. He will respond in writing within ten (10) days. If the response is unsatisfactory, the complainant should write directly to the Chair of the Board of Commissioners. He or She shall respond within ten (10) days.

If the citizen is still dissatisfied, he/she should write to the NC Department of Commerce, Rural Economic Development Division/State CDBG Program, 4346 Mail Service Center, Raleigh, NC 27699-4346, Attention: Citizen

Participation Matter. Program staff will also be available during normal business hours to respond to any citizen inquiries or complaints at 919-814-4663

The Citizen Participation Plan will be subject to annual review and proposed revision, to occur in the period between the performance hearing and the public hearing on the subsequent year's application.

#### TECHNICAL ASSISTANCE

Technical Assistance will be provided to citizen organizations and groups of low/moderate income persons or target area residents upon request to Watauga County. Such assistance will support citizen efforts to develop proposals, define policy and organize for the implementation of the program. It is expected that such assistance will be provided directly to the County in response to their request. Assistance could be provided in the form of local presentations, informational handouts, research of a specific issue or other short-term efforts.

#### PUBLIC INFORMATION

Watauga County will also undertake public information efforts to promote citizen participation. These efforts will include the following:

1. Public Notice of all Public Hearings will be published in the non-legal section of the local newspaper at least five (5) days before the scheduled hearing. These notices will indicate the date, time, location, and topics to be considered. These notices will also be made available in the form of press releases, as a public service announcement to local radio stations and will be provided to churches within the target area of distribution.
2. Orientation Information will be provided at the first public hearing. The Program Administrator(s) will make a presentation which covers: (a) the total amount of CDBG funds available and the competitive basis for award; (b) the range of eligible activities; (c) the planning process and the schedule of meetings and hearings; (d) the role of citizens in the program and (e) a summary of other program requirements, such as the environmental policies, fair housing provisions and contracting procedures.
3. A Public File containing program documentation will be available for review at the County Planning & Inspections Department during normal business hours. Included will be copies of the Application, Environmental Review Record, the Citizen Participation Plan and the Annual Performance Report. Other program documents are also available for citizen review on request at the Planning & Inspections Department consistent with applicable State and local laws regarding personal privacy and obligations of confidentiality.
4. Public Hearings an interpreter will be provided for all non-English speaking individuals and/or deaf individuals.
5. Public hearing accommodations and accessibility

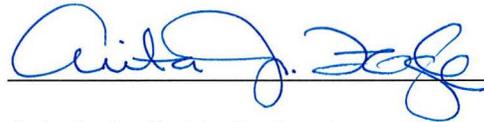
**Virtual Hearings** - During a declaration of a state of emergency by the Governor or General Assembly, and if a local unit of general government is concerned about significant public health risks that may result from holding an in-person public hearings, Watauga County may undertake a virtual public hearing (alone, or in concert with an in-person hearing) if:

- It allows questions in real time, with answers coming directly from the elected representatives to all "attendees." Therefore, members of the public must be entitled to participate and address the Board of Commissioners during any telephonic or video-conference hearing.
- The Board of Commissioners will post a written notice that gives the public a way to participate remotely, such as a toll-free dial-in number, and that includes an electronic copy of any agenda packet that officials will consider at the meeting.
- As with an in-person hearing, the grantee must select a virtual hearing method or platform that provides accessibility for persons with disabilities and limited English proficiency (LEP) to the greatest extent possible. These accommodations must be free to these populations.
- The Board of Commissioners will provide the public with access to a recording of any telephonic or videoconference meeting.
- Watauga County will document its efforts and the reason for them.
- Additional specific communication requirements and requirements for conducting remote meetings can be found in Article 1A of Chapter 166A and Article 33C of Chapter 143 of the General Statutes.

ADOPTED, this the 15<sup>th</sup> day of September, 2020.

  
\_\_\_\_\_  
*John Welch, Chairman*

*Watauga County*

  
\_\_\_\_\_  
*Anita Fogle, Clerk to the Board*

*Watauga County*

*Watauga County*

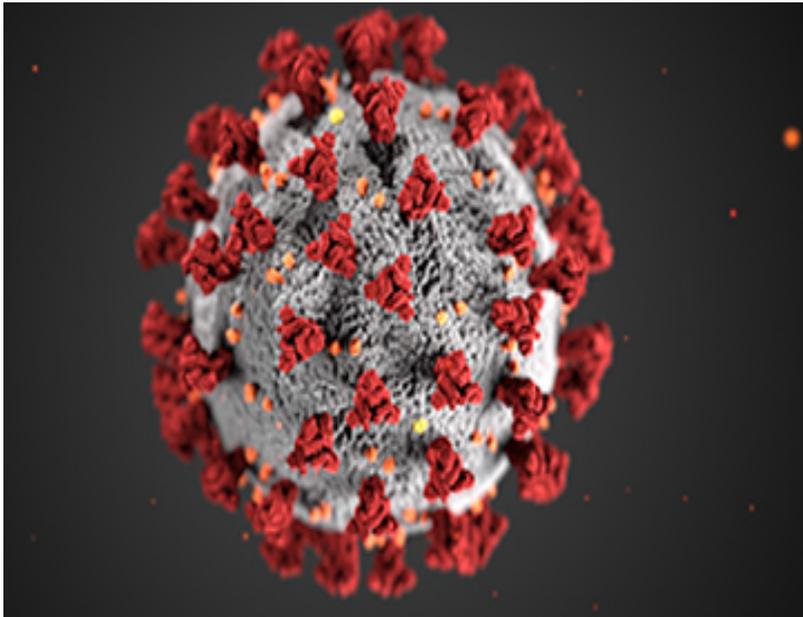


# NORTH CAROLINA

DEPARTMENT OF COMMERCE

# 2020

## North Carolina Community Development Block Grant Coronavirus (CDBG-CV) Program



### **Rural Economic Development Division/State CDBG Program**

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# North Carolina CDBG Coronavirus Program

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# PROGRAM GUIDELINES

## INTRODUCTION

NC Commerce's Rural Economic Development Division (REDD) will administer the **Community Development Block Grant Coronavirus (CDBG-CV)** funds awarded to the State by the U. S. Department of Housing and Urban Development (HUD) to support North Carolina's COVID-19 response efforts. This allocation was authorized by the Coronavirus Aid, Relief, and Economic Security Act (CARES Act), Public Law 116-136, which was signed by President Trump on March 27, 2020, to respond to the growing effects of this historic public health crisis. Initially, REDD makes available approximately \$27.5 million through awarding grants to non-entitlement communities (i.e., incorporated municipalities under 50,000 and counties under 200,000 in population).

The **North Carolina CDBG-CV** Program is designed to help a non-entitlement municipality or county to prepare, prevent, or respond to the health and economic impacts of COVID-19. The activities must be most critical to their locality and primarily for their low- and moderate-income residents. Beginning September 1, 2020, REDD will award CDBG-CV funds on a first-come, first-served basis with a focus on local needs identified by the community in collaboration with state and local health officials. Applicants may view current COVID-19 metrics on the North Carolina Department of Health and Human Services website at <https://covid19.ncdhhs.gov/> .

## AREAS OF FOCUS FOR CORONAVIRUS RESPONSE

As noted by Governor Roy Cooper, "efforts to support families, small business, and economic recovery remain critical" during the COVID-19 pandemic. In support of these public health and economic recovery goals, **North Carolina CDBG-CV** Program projects must incorporate at least one of the following as an area of focus:

- **Support families and communities through telehealth support and other public services.**
- **Protect the most vulnerable and high-risk populations.**
- **Assist small businesses with economic recovery.**
- **Address testing, tracing, and trends.**

## FUNDING PRIORITIES BY ELIGIBLE ACTIVITY

The State has established the following funding priorities by eligible activity:

- **Public Service:** The priority in this category is subsistence payments to prevent evictions and utility disconnections. Food distribution, testing and diagnosis, and employment training for health care workers on the frontlines are also prioritized.
- **Public Facilities:** The priority in this category is broadband services and enhancing internet access that supports increased connectivity to schools, jobs, and healthcare. This category also includes building rehabilitation or improvements to support activities such as repurposing buildings into patient treatment centers.
- **Economic Development:** The priority in this category is to provide financial assistance to businesses with 100 or fewer employees, including microenterprises with five or fewer employees. The focus is to support businesses that manufacture medical supplies, and to help small businesses impacted by COVID-19 create and retain jobs.

## NATIONAL OBJECTIVES

Like CDBG, **CDBG-CV** projects must meet a national objective. The three national objectives are: (1) benefiting low-and-moderate income (LMI) persons; (2) preventing or eliminating slums or blight; and (3) meeting other community development needs that are deemed to be urgent because of existing conditions pose a serious and immediate threat to the health and welfare of the community, and other financial resources are not available to meet the need. All **NC CDBG-CV** project activities will meet the urgent need national objective; however, grantees must serve at least 51% low-to-moderate income persons for activities for public services and public facilities and 70% low-to-moderate income persons for special economic development activities.

### National Objectives Definitions

**1. Benefit to LMI persons:** Benefit to LMI persons may be either **direct** or **area-wide** benefit.

- Direct benefits are those activities that serve certain persons (e.g., housing assistance).
- Area-wide benefits are those activities that benefit communities and are not participant specific (e.g., neighborhood facilities).

*Please note that applicants must ensure that both area-wide benefit at least 51% low-and-moderate-income (LMI) persons, and direct activities benefit 100% low-and-moderate-income (LMI) persons. If proposing economic development activities, 70% of beneficiaries must be LMI. Additionally, applicants must ensure that NC CDBG-CV Program projects do not benefit moderate-income persons to the exclusion of low-income persons.*

**2. Low- and Moderate-Income (LMI) Households Defined:**

Low-and-moderate-income households in metropolitan areas are defined as those with incomes equal to or less than eighty percent (80%) of the median family income of the metropolitan area. For families residing in non-metropolitan areas, low-and-moderate income is defined as eighty percent (80%) or less of the median income of the county. "2019 or the most current Income Limits," published by the Department of Housing and Urban Development (HUD), defines income limits for low-and-moderate-income families per family size for non-metropolitan and metropolitan areas of the state. The document is available on the HUD Exchange website using this link

<https://www.huduser.gov/portal/datasets/il.html> or can be obtained from the Rural Economic Development Division (REDD).

## DUPLICATION OF BENEFITS REQUIREMENTS

Federal law requires REDD to conduct a duplication of benefits review for each CDBG-CV eligible activity. A duplication of benefits occurs when assistance is provided to a person or entity (i.e., beneficiary) to address losses and that person or entity (i.e., beneficiary) receives assistance for the same costs and/or losses from other funding sources. The funding sources not only includes CARES Act sources, but also other federal, state, philanthropic, and local government sources. For a list of other likely Federal sources and guidance, see <https://www.hudexchange.info/resource/6097/cdbg-coronavirus-response-grantee-resources-related-to-preventing-duplication-of-benefits/>.

REDD will recapture all funds associated with a duplication of benefits. To alleviate issues, applicants must develop and maintain adequate procedures to prevent a duplication of benefits. Procedures must include persons/entities receiving CDBG-CV funds must repay duplicative assistance and a method to assess whether CDBG-CV funds will duplicate financial assistance that is already received or likely to be received by acting reasonably. A copy of the duplication of benefits procedures must accompany the CDBG-CV application.

## PROJECTS WITH MULTIPLE ACTIVITIES

Applicants may complete projects that include multiple activities in the **NC CDBG-CV Program** except administration, each activity funded must meet a national objective. There are instances when activities can qualify under more than one national objective category. When this happens applicants must select only one.

**Important to Note:** *Proposed activities that fail to meet a national objective and/or program requirement may result in the REDD eliminating the activity from the project and disqualifying the project for funding.*

## THRESHOLD REQUIREMENTS

Threshold requirements address the minimum expectations pertaining to the application process, submission requirements, and minimum program requirements. The Rural Economic Development Division (REDD) will not consider any **NC CDBG-CV Program** applications for competition if one or more of the following requirements are not met:

Application will be deemed ineligible for the following reasons:

- Application is physically received by the REDD before the program opens;
- Applicant is not an eligible non-entitlement local government;
- Applicant did not submit two complete original applications bound as instructed;
- The Application Summary form in each application was not completed and signed by the chief elected official or another documented authorized certifying officer;
- All required attachments were not included in the application;
- All or some identified eligible activities in the application did not address a national objective;
- Applicant's **NC CDBG-CV** funding request exceeds the maximum grant amount of \$900,000 and/or the maximum activity grant amount;
- Previous CDBG grants were not administered in compliance with applicable regulations, and all monitoring and audit findings on closed or open grants were not resolved; and
- Applicant or identified sub-recipient appears on the Federal or State Suspension of Funds list.

**Important Note:** *The NC CDBG-CV Program is an urgent needs program; therefore, a waiver is not required by the NC Department of Commerce if current funding request exceeds \$1,250,000 in applications for local governments in any of the CDBG categories and demonstration programs.*

## ELIGIBLE RECIPIENTS

All municipalities are eligible to receive State CDBG funds except for entitlement communities. Entitlement communities receive funds directly from HUD. North Carolina's 24 entitlement municipalities are: **Asheville, Burlington, Cary, Chapel Hill, Charlotte, Concord, Durham, Fayetteville, Gastonia, Goldsboro, Greensboro, Greenville, Hickory, High Point, Jacksonville, Kannapolis, Lenoir, Morganton, New Bern, Raleigh, Rocky Mount, Salisbury, Wilmington, and Winston-Salem.**

In addition, all counties are eligible to receive State CDBG funds **except Mecklenburg County, Wake County, Union, and Cumberland County**, which have been designated by HUD as urban entitlement counties. As entitlement counties, neither the counties nor their municipalities are eligible for Small Cities funding, **except** for the towns of **Holly Springs** and **Linden**.

## ELIGIBLE APPLICANTS

Eligible applicants are local governments that (1) meet specific funding and threshold criteria, (2) meet a specific level of readiness to proceed, and (3) are acknowledged by REDD in writing as eligible to apply.

These minimum performance requirements measure an applicant's capacity to adequately implement and administer the **CDBG-CV** program. REDD will review progress on CDBG programs currently underway in the locality and will consider all unresolved audit and monitoring findings on active CDBG grants in determining capacity.

Eligible local governments may submit applications to undertake eligible activities within their jurisdictions. The jurisdiction may be the corporate limits of the municipality, its extraterritorial jurisdiction (ETJ) or areas outside of the extraterritorial jurisdiction, depending on project activities. Each applicant is required to certify that it possesses legal authority to carry out the proposed activities. Unless contradictory evidence is submitted to REDD, the Division will accept the applicant's certification of legal authority.

## AWARD AMOUNTS

The maximum grant amount is \$900,000 per grantee with some restrictions for specific activities. There is no minimum grant amount. Applicants should consider feasibility as it relates to the overall cost of any project. Pre-award, planning, and administration is limited to 10% of the awarded grant total.

## GRANT PERIOD (Life Cycle)

The grant period for **NC CDBG-CV Program projects** is 30 months.

## MATCHING FUNDS REQUIREMENT

The **NC CDBG-CV Program** does not have a matching fund requirement.

## ALLOWABLE PROJECT ACTIVITIES

Activities must be based on need or needs substantiated by the local government applicant. Applicants must demonstrate coordination with State and/or local health authorities before undertaking any activity to support state or local pandemic response. Applicants may use **Community Development Block Grant Coronavirus (CDBG-CV)** funds for public services, public facilities, and special economic development activities. The charts below outline the specific activities and requirements.

### Public Service Activities

Grantees may provide a new or increased level of a public service. All activities must result in achievement objective, typically by providing services to an LMI clientele or to LMI persons residing in a qualified area.

Public Service	Description
Subsistence Payments	Provide up to six months emergency payments on behalf of individuals or families, generally for the purpose of preventing homelessness. Utility payments to prevent service disconnection and rent/mortgage payments to prevent eviction. Local governments are encouraged to partner with a non-profit service provider such as United Way or one approved by the NC DHHS.

Employment Training	Carry out job training to expand the pool of health care workers and technicians that are available to treat disease within a community.
Testing and Diagnosis	Provide testing, diagnosis, or other services at a fixed or mobile location.
Equipment, Supplies, and Materials	Provide equipment, supplies, and materials necessary to carry-out a public service.
Food Distribution	<u>Meal Delivery</u> : Deliver meals on wheels to quarantined individuals or individuals that need to maintain social distancing due to medical vulnerabilities.  <u>Food Bank/Pantry Services</u> : Provide support to food banks and food pantries.
Health Services	Increase the capacity and availability of targeted health services for infectious disease response within existing health care facilities.
Mental Health Services	Increase the capacity and availability of targeted mental health services for individuals and families impacted by Coronavirus.
Broadband and Communications Support	Provide broadband services inclusive of internet access and hardware/software purchases to connect individuals to jobs, schools, financial institutions, and healthcare providers.
Services for Special Needs Populations such as seniors, youth age 13-19, and disabled/handicapped	Provide services for special needs populations that prevent, respond to, or prepare for COVID-19. Applicants must contact the CDBG-CV Manager for approval prior to submitting the application.

### Examples of Ineligible Public Service Activities

Examples of ineligible public service activities include revolving loan funds, loans, purchase of local government vehicles (e.g., police cars, fire trucks), and salaries including overtime payments for local government employees.

### Public Facilities

A public facility is defined as a place open to the general public that provides services that are traditionally provided by the government or owned and operated by a nonprofit.

Public Facility Activity	Description
Acquisition, Construction, Reconstruction, or installation of public works, facilities, and site or other improvements	Health Facilities may be created/supported by: <ul style="list-style-type: none"> <li>• Constructing a testing and diagnosis, or treatment facility.</li> <li>• Rehabilitate a community facility to establish an infectious disease treatment clinic.</li> <li>• Acquiring and rehabilitating, or constructing, a group living facility that may be used to centralize patients undergoing treatment.</li> </ul>
Rehabilitation of building and improvements (including interim assistance)	Rehabilitate a commercial building or closed school building to establish an infectious disease treatment clinic

	<p>Acquire, and quickly rehabilitate (if necessary) a motel or hotel building to expand capacity of hospitals to accommodate isolation of patients during recovery.</p> <p>Make interim improvements to private properties to enable an individual patient or frontline health care workers to remain quarantined on a temporary basis.</p>
Broadband and Communications Support	Provide broadband services inclusive of infrastructure development, internet access, wiring, and hardware and software purchases to connect individuals to jobs, schools, financial institutions, and healthcare providers. All activities must be completed in 30 months or less.

### Special Economic Development Assistance

A local government must propose a project in conjunction with one or more existing, private for-profit small businesses that undertakes specific **CDBG-CV** eligible activities that result in the creation of permanent, full-time jobs within the community. A job is considered full-time if the employee works at least 1,600 hours per year. Additionally, employers who offer qualifying health insurance for all full-time positions at the establishment and pay at least 50% of employee premiums are preferred. All businesses must be current with state and local taxes.

For purposes of this grant program, an existing business is one that has been in operation (and employing at least one full-time employee) at least two years and that has 100 or fewer employees prior to March 10, 2020.

**CDBG-CV** funding will not be made available to projects that assist companies who transfer jobs within the state unless the company is expanding into the new area by adding a branch, affiliate, or subsidiary while maintaining employment levels in the old area. **NOTE: Jobs that are transferred from other facilities will not be counted toward the job creation commitment.**

Proposed projects are subject to **CDBG-CV** cost per job limits and the limit for this project is \$85,000 per full-time equivalent job or less. For example, a \$850,000 grant must result in the creation of at least 10 new jobs [ $\$850,000 \text{ grant total} / \$85,000 \text{ per job} = 10 \text{ jobs created}$ ]. At least 70% of the jobs must go to LMI persons. In other words, out of 10 jobs, 7 must go to LMI persons.

### Required Link Between an Eligible Activity and Job Creation/Retention

**An eligible activity or activities under this grant category must directly link to the creation or retention of jobs for LMI persons.** Applicants must explain how the proposed funded activity will create and/or retain the number of proposed jobs. The following are examples of activities that may be allowed, depending on how the overall project is structured.

### Justification for Job Retention

Project eligibility may be based on the retention of jobs if the applicant and the company can provide clear and objective evidence that the jobs would be lost without CDBG assistance. Severity of need, such as threat of closure, may be evidenced by documentation such as notices from state or local health authorities, public announcements, and letters to employees, or relevant financial records. This documentation must be included in application package. In addition, the company must survey all current employees to verify that at least 70% are LMI persons. A current employee list and a summary of survey results must be included with the application.

Economic Development Activity	Description
Small Business Assistance	<p>Provide grants to support new businesses or business expansion to create jobs and manufacture medical supplies necessary to respond to infectious disease.</p> <p>Avoid job loss cause by business closures related to social distancing by providing short-term working capital assistance to small businesses to enable retention of jobs held by low-to-moderate income persons.</p> <p>Provide financial assistance to for-profit businesses to acquire property, build, expand, or rehabilitate a building, lease space to operate, or purchase equipment, or provide operating capital.</p> <p>Retrofit workspaces for for-profit businesses to promote social distancing.</p>
Microenterprise Assistance <i>is defined as a commercial enterprise that has five or fewer employees, one or more of whom owns the enterprise.</i>	Provide technical assistance and grants to establish, stabilize, and expand microenterprises that provide medical, food delivery, cleaning, and other services to support home health and quarantine.

#### Examples of Ineligible Special Economic Development Activities

Examples of ineligible special economic development activities include revolving loan funds, loans, debt restructuring, job training that cannot be linked to a specific job at a specific firm. Additionally, ineligible activities at 24 CFR 570.207 and .209 CDBG funding will not be available to projects that propose to assist companies that are in bankruptcy.

#### HUD regulations specifically prohibit the following:

1. General promotion of a community as a whole (as opposed to specific areas and programs);
2. Assistance to professional sports teams including automobile racing teams;
3. Assistance to privately-owned recreational facilities that serve a predominantly higher-income clientele, where the recreational benefit to be derived by users or members clearly outweighs the employment or other benefits to LMI persons;
4. Acquisition of land where no specific proposed use has been identified;
5. Assistance to a for-profit business while that business or any other business owned by the same person(s) or entity is the subject of unresolved findings of noncompliance relating to previous CDBG assistance provided by the recipient;
6. Projects that do not create/retain jobs for low-and-moderate income persons; and
7. Transfer of jobs from one labor market area (LMA) to another that results in a significant loss of employment in the LMA with the job loss.

## PRE-AWARD AND ADMINISTRATION COSTS

Pre-award, planning, and administration is limited to 10% of the awarded grant total. REDD will allow reimbursement of pre-award costs incurred prior to the effective date of the grant award that are essential to negotiations in anticipation of receiving the grant award. Of the 10% administration of the awarded grant amount, up to \$3,500 can be used for planning. The pre-award costs are also subject to following proper procurement regulations at 2 CFR 200. For eligible pre-award and administration costs, see OMB Circular 2 CFR 200.458.

## LOCAL GOVERNMENT ROLES AND RESPONSIBILITIES

The local government's roles and responsibilities are outlined in 24 CFR Part 570.501. As the applicant, the local government is responsible to ensure the following:

- ✓ **Management and Oversight:** The elected officials are legally, financially, contractually, and programmatically responsible for the CDBG project. The local government is responsible to the State of North Carolina and the Federal government even if they have a contract administrator or sub-recipient relationship.
- ✓ **Financial Management:** The local government must ensure proper accounting of funds to avoid disallowed costs. This includes accurate identification of project costs and cash balances and proper internal controls.
- ✓ **Statement of Assurances and Certifications:** The local government elected officials and administrators should read and understand these documents and the implementation obligations.
- ✓ **Grant Agreement (24 CFR Part 570.501 and .502):** If awarded, the local government will receive a grant agreement and funding approval from the State. These documents are contractually binding and cannot be changed without State approval.

## USE OF AN EXPERIENCED CDBG ADMINISTRATOR

The local government applicant must have the capacity to administer the proposed project with either its own CDBG-experienced staff or the assistance of an experienced CDBG administrator (e.g., CDBG-experienced consultant, Council of Government, non-profit). "Experienced" to administer proposed project for this application is defined as, someone who has administered more than one CDBG project. All applicants must have also met the basic performance requirements for prior CDBG grants.

## PROGRAM AMENDMENTS, BUDGET AMENDMENTS AND BUDGET REVISIONS

In an Advisory Notice called "Application Amendment" dated January 25, 2010 and posted on the North Carolina Commerce website, State CDBG outlined the application amendment process. Additionally, in September 2010, REDD released **Bulletin 10-3** which replaces Bulletin 96-2 which defines what constitutes a change from the approved application and requires prior approval by REDD. The Bulletin also outlines the procedural requirements for submitting an amendment. When making any change to the approved application, grantees should contact the REDD Grants Management Representative (GMR) assigned to the grant to discuss the proposed changes. The GMR will assist the grantee with the program amendment, budget amendment, and/or budget revision process.

When changing activities or scope of the project, the environmental review record must be updated per 24 CFR 58. After revisions, the environmental review must be submitted to the REDD Compliance Specialist.

## EVALUATION CRITERIA

The **NC CDBG-CV Program** is a first-come, first-served program. Even though the program is non-competitive, all projects must pass the threshold review to be considered for funding. See threshold criteria section of the guidelines for details. Applicants will be rated according to the following criteria:

1. Activity is taking place in an eligible area with elevated COVID-19 outbreaks and activities are supported by state and local health officials
2. Program Purpose, Project Design, and Performance Measure & Evaluation
3. Project Feasibility, Sustainability, and Readiness
4. Project Need and Benefit
5. Financial Design, Budget, Leverage, and Cost Effectiveness
6. Capacity, Experience, and Organizational Structure

### Program Purpose, Project Design, and Performance Measure & Evaluation

This area of rating focuses on the overall project design. The reviewer(s) will examine how the proposed project addresses the program intent, incorporates the areas of focus, uses partnerships, and establishes performance measures for current and future assessments. This area will also review the local commitment.

**Performance Measure and Evaluation:** The applicant must identify how they will measure the **NC CDBG-CV Program** project performance. The goals must be specific, measurable, action-oriented, attainable, realistic, focused and time-bound. Be specific by using a quantifiable number. The - Accomplishments and Beneficiaries form per activity will also be reviewed for this area of rating.

### Project Feasibility, Sustainability, and Readiness

This area of rating focuses on the project feasibility, sustainability, and readiness to proceed. Included in the review are the financial design, evidence of non-CDBG funds, project timing to carry out the proposed activities, quality of the units, site suitability for the proposed activity, surrounding and on-site amenities for the target beneficiaries, and level of site readiness and control.

Applicants must be able to document the long-term viability of any public facility and the ability to link services if the type of facility requires specific services for their clientele. Applicants must provide documentation to support housing activities related to sales or leasing activity.

The most competitive projects will establish partnerships with local government, community groups, non-profits, and other agencies for funding and administration that goes beyond CDBG funding. Local funds, no matter how small, give an indication of the local government's commitment to the project. Concerted efforts to elicit funds to leverage funding with other sources other than CDBG will be looked upon favorably, since one of the ultimate goals of this project is for communities to search for as many avenues of funding necessary to maximize revitalization opportunities of the target neighborhood(S).

Examples of evaluation parameters for applicant and activity listed below:

- Can the project be implemented and completed within a reasonable amount of time?
- Has the applicant identified all the major tasks or components that will be required in carrying out the activity? Are there any potential issues or concerns?
- Has the applicant provided a reasonable estimate of the resources necessary for each component of the project, and has it developed a realistic budget that reflects these resources? Are other sources of funds (leveraging) committed to this project?
- Is the proposed budget for the CDBG-CV funded activity separate from other activities undertaken by the applicant?

### Project Need, Market Demand, and Benefit

This area of rating will assess the project need, the documented demand, the proposed treatment to meet the need, and the benefit to the identified target group. All project activities must meet a national objective to be eligible for CDBG funds. There are three national objectives in the CDBG program. The two national objectives most applicable to the **NC CDBG-CV Program** are (1) benefit to low-and-moderate income (LMI) persons and (2) urgent need. Benefit to LMI persons may be either direct (actual people served) or area wide. The elimination of slum and blighting conditions may be undertaken on an area or spot basis.

Examples of evaluation parameters for applicant and activity listed below:

1. Does the activity address an established need?
2. Is the proposed activity eligible (24 CFR 570.201) under the CDBG program?
3. Does the proposed activity meet one of the three broad National Objectives?
  - ✓ Principally benefit low-and-moderate-income persons;
  - ✓ Prevents or eliminates slum and blight; or
  - ✓ Addresses an urgent need or problem in the community.
4. Has the applicant provided enough explanation concerning their ability to adequately and accurately document the benefit to low and moderate-income persons?

### Capacity, Experience, and Organization Structure

**Capacity:** The applicant must describe in the application the community's capacity and organizational structure that will be responsible for the grant's administration and the development and operation of the **NC CDBG-CV Program** project. For example, describe who will coordinate the various components. Describe who will be responsible for the oversight and assurance that all financing is firmly committed, and matching funds spent, that contracts are properly secured, that benefit is measured, etc.

In addition, the applicant must describe the following:

1. Who will be responsible for administering the grant,
2. Describe who will be responsible for the oversight and assurance that environmental reviews are conducted accurately and according to the **U.S. Department of HUD's Office of Environment and Energy Laws, Regulations, and Executive Orders for HUD Environmental Compliance**, financial systems set-up, reports filed with the local board and REDD, etc.
3. Submit an organizational chart that outlines the team members responsible for the implementation of the project.
4. Create a bullet list of the team members/providers and what activities/duties for which they are responsible.
5. Also, describe the capacity and experience of each project team member for their component of the project.
6. Attach resumes of project team members in an appendix or indicate that you have already done so in the pre-application.
7. Include information on the type(s) of organizations involved, document if these are non-profit, private, government, cooperative, or partnership.

The applicant may designate a different coordinator of each of the components of the project or may designate the same person to coordinate all components. It is of utmost importance to have a coordinator and administrator in leadership and management, a successful project needs an experienced competent team. Team members could include local government staff, Housing Authorities, day care providers, public service providers, Community Development Corporations (CDCs), and other non-profit agencies.

**Examples of evaluation parameters for applicant and activity listed below:**

1. Does the applicant have historical experience undertaking the proposed activity? What were the results?
2. Does the applicant have experience with CDBG or other Federal programs? Has the applicant had a Single Audit (2 CFR 200) completed within the last two years?
3. Do the applicant and prospective staff understand the additional requirements associated with Federal funding?
4. Does the applicant have qualified staff in place for all components and necessary functions associated with the proposed activity? Is there adequate staff time available?
5. Does the applicant possess adequate administrative structures, management systems, and policies & procedures?
6. Does the applicant possess adequate financial stability? Will the applicant be primarily dependent upon CDBG funding?

### CITIZEN PARTICIPATION PLANS AND VIRTUAL PUBLIC HEARINGS

During the period when national, state, and/or local health authorities recommend social distancing and limiting public gatherings for public health reasons, in-person public hearings are not possible. Local governments may amend the Citizen Participation Plan to meet public hearing requirements with virtual public hearings. *A copy of the amended Citizen Participation Plan must be submitted with the CDBG-CV application.* Additionally, the virtual hearings must provide reasonable notification and access for citizens in accordance with the grantee's certifications, timely responses from local officials to all citizen questions and issues, and public access to all questions and responses. Grantees must record and retain documentation of all virtual hearings, outreach efforts, and public comments.

#### PUBLIC HEARINGS

To meet the minimum requirements for citizen participation during the application phase, the applicant must hold **two public hearings** to obtain citizens' comments prior to its submission to REDD. Two public hearings are required to be held by the unit of local government during the application process and prior to the submission of the application. Both hearings must be advertised as described in the applicant's Citizen Participation Plan. The timing of the hearing notices must follow CDBG-CV regulatory requirements, including publication not less than 5 days before the date of the hearing.

The first public hearing should be held at the beginning of the application process. The notice should provide enough information about the project(s) to allow citizens to be able to provide input. The first public hearing is required at least once every twelve months (or prior to submission of an application) to discuss and receive feedback on housing, community and economic development needs.

The second notice of public hearing to obtain citizens' views must also contain a description of the proposed activities to be carried out, including the amount of the funding request and total cost of the activities. *Please note special economic development projects must also include the name of beneficiary company(ies), the number of jobs to be created and/or retained, and the percentage of total cost of the project that will be financed with CDBG funds the dollar amount of CDBG funds for the project(s).* The second public hearing must be conducted by the governing board of the applicant. **The second public hearing should be held after the application is drafted but prior to its submission to REDD.**

A publisher's affidavit of the notices and minutes of the hearings signed by the local government clerk must be submitted to REDD as a part of the application and/or Funding Approval, if awarded.

## COMPLIANCE REQUIREMENTS

The local government is responsible for conformity with all Federal and State regulations governing the CDBG program. **NC CDBG-CV Program** applicants must comply with federal regulations and certify that, if funded, they will comply with all applicable laws and requirements in the **NC CDBG-CV Program** grant. Please refer to the Federal Certifications and State CDBG Regulations in the application for specific details. If you have questions about the documentation needed, please contact the **NC CDBG-CV Program** Grants Management Representative (GMR) for assistance.

Per the Housing and Community Development Act of 1974, as amended, the CDBG program has certain federal and state requirements that must be met. Local government project administrators should be familiar with the Act, along with rules published in the Federal Register of November 9, 1992 under 24 CFR Part 570. NC Administrative Code requirements of 4 NCAC Subchapter 19L (NC Community Development Block Grant Program) must also be met.

It is important that applicants understand the commitment they will be undertaking with a CDBG grant. This description of requirements and responsibilities of grantees should be read carefully. Please contact REDD Staff with any questions regarding federal program regulations. The following list is intended to provide local government and business CDBG program participants with a brief list of basic federal and state administrative requirements for compliance areas that must be addressed.

### 1. Conflict of Interest

Per 24 CFR Part 570.489 (h), the following people or their immediate family members shall not have any direct or indirect financial interest in any contract, subcontract or the proceeds thereof for work to be performed in connection with the grant during their tenure or for one year thereafter: 1) employees or agents of the recipient who exercise any function or responsibility for the CDBG project, and 2) officials of the recipient including members of the governing body. The applicant will be asked to determine if a potential conflict exists. Questions regarding this item are in the program application. Please note that sub-recipients must comply with these regulations as well. Consult with REDD Staff regarding conflict of interest questions or North Carolina Community Development Block Grant Program Regulations (4NCAC 19L.Section.0914).

### 2. Citizen Participation *(Important Note: Please see Citizen Participation and Virtual Hearings above.)*

Applicants must certify in the application that they are following a written citizen participation plan that provides for access to information and participation in all stages of the project. This includes proper advertising of public hearings, and timely access to meetings, information, and records related to the project. In addition to a minimum of two public hearings before submitting a final application, a third hearing is required prior to the formal close out of a grant after completion of all project activities.

Applicants must certify in their application that they are following a detailed citizen participation plan which provides for and encourages citizen participation at all stages of the project, from initial design and application through implementation and closeout.

This plan must provide for reasonable and timely access to meetings, information, and records; provide technical assistance to groups representative of low and moderate-income persons that request assistance; provide for public hearings at all stages of the community development program; provide timely written answers to written complaints; and provide for the needs of non-English speaking persons.

To meet the minimum requirements for citizen participation during the application phase, applicant must hold a public hearing to obtain citizens' comments at the beginning of the application process, and another hearing after the application is drafted but, prior to its submission to REDD. Public hearing notices must be advertised as described in the grantee's approved Citizen Participation Plan. **The notice must be published at least 5 days before the date of the hearing.**

The notice of public hearing to obtain citizens' views after the application has been prepared, but prior to its submission to REDD, must also contain a description of the proposed project(s), including proposed project location, activities to be carried out, and total costs of activities. The governing board of the applicant must conduct the public hearings.

***Note: Local governments must also provide citizens, especially residents of proposed project areas or ones whose homes will be included, an adequate opportunity to participate in the planning and development of CDBG applications beyond the public hearing requirements described above.***

Examples of actions applicants may take to ensure adequate citizen participation in the application stage includes, meeting with community groups and leaders prior to public hearings, holding informational meetings for those citizens whose homes will be affected by the project and distributing notices of meetings and public hearings directly to them. Applicants may also choose to distribute public hearing notices to local community action agencies, legal services offices, and other public and private organizations.

Please note that the applicant certifies in the application Certification Form that it is following the requirements described in the first paragraph of this section for ensuring citizen participation, and that it will adopt a detailed written Citizen Participation Plan that includes these requirements if, the project receives the grant award. Applicants should refer to 4 NCAC 19L Section .1002(c) and (d) for information regarding the development and implementation of this plan.

If awarded, the grantee must have documentation on file of compliance with citizen participation requirements in the application process, 4 NCAC 19L.1002(b): publisher's affidavits of notices for and minutes signed by the town or county clerk of the two required public hearings.

### **3. Program Income**

Program income resulting from the CDBG-CV project may be retained at the local level with written approval the written plan from REDD. For example, program income will result from loan repayments or the sale of assets purchased with CDBG-CV funds. Prior to expenditure of program income, the applicant must have a plan for reuse of program income approved by REDD.

### **4. Administration of Project**

If awarded, the grantee must meet minimal levels of supervision in implementing the project as follows:

- (a) Administrators of the project will give written status reports to the elected board at a minimum quarterly.
- (b) At least two persons from the local government will review invoices and requests for payment to ensure accuracy and to ensure costs are allowable.
- (c) The local government manager reviews and signs off on all project reports.
- (d) All project files will be maintained at the local government offices and made available to citizens during regular business hours.

## 5. Audits/Compliance

**CDBG-CV** grantees expending \$25,000 or more in a fiscal year are **required** to have funds audited for the **CDBG-CV** program. **CDBG-CV** funds can be used to pay for the **CDBG-CV** portion of the audit provided the grantee has expended \$500,000 or more in the fiscal year in total federal awards (CDBG and other federal funds). If the grantee has expended less than \$500,000 in total federal awards, the grantee may budget local funds in the administrative line item in the **CDBG-CV** application to pay for the **CDBG-CV** portion of the audit and claim the local administrative funds as local commitment.

## 6. Costs Associated with Preparation of the CDBG-CV Application

Applicants that receive REDD funding approval for project(s) may charge the cost of application preparation to a current program if, procurement procedures consistent with 24 CFR 85.36 are followed. No more than \$3,500 may be charged to the **CDBG-CV** program for the preparation of the application.

## 7. Procurement

The grantee must have a written Procurement Policy that meets the requirements specified in **2 CFR, Part 200.317-200.326 of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards** at [https://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl). The procurement procedures must reflect applicable State and local laws, should promote free and open competition, and describe efforts to encourage minority and female owned businesses to submit bids/proposals. Grantees must contract for the procurement of goods, services, and construction projects including design services. **CDBG-CV** grantees must enter procurement solicitation for any contract over \$25,000 in the Statewide Interactive Purchasing System (IPS) as well as provide the information to the REDD Compliance Office. All notices must be posted in IPS at least three days before the procurement process begins. Only the local government must set-up in IPS to post solicitation documents electronically. The process takes 15 minutes. The local government should contact N C Department of Administration at (919) 807-2425 or [www.ips.state.nc.us](http://www.ips.state.nc.us) for information. The use of IPS will be added to the program compliance monitoring process. Grantees must also ensure compliance with 24 CFR 85.36 Procurement Process in addition to the IPS requirement.

## 8. Equal Opportunity

Applicants are required to ensure that **CDBG-CV** aided projects comply with equal opportunity and nondiscrimination laws and that people in protected categories are not excluded from project participation.

Applicants are required to take into consideration equal opportunity and non-discrimination laws in designing **CDBG-CV** programs to ensure that people in protected categories are not excluded from participation, denied the benefit of, or subjected to discrimination under any program or activity funded in whole or in part with **CDBG-CV** funds. The recipient of **CDBG-CV** funds must describe the actions it will take annually for each year the grant is open in the areas of enforcement, education and in the removal of barriers and impediments that affirmatively further equal access in employment and procurement. This includes a description of steps to be taken in the areas of advertisement, compliance and complaint tracking.

## 9. Fair Housing

Recipients of **CDBG-CV** funds will be required to comply with fair housing and non-discrimination laws and regulations. Applicants should consult Section .1001 of the CDBG administrative rules for further information on equal opportunity requirements. will be required to submit a Fair Housing Plan for the municipality and/or county. Applicants with 10,000 persons or more will be required to complete an

Analysis of Impediments to Fair Housing Choice Study. For each year that a **CDBG-CV** project is active, a recipient must describe the actions it will Applicants take in the areas of enforcement, education and removal of barriers and impediments to affirmatively further fair housing. For guidance for developing a Fair Housing Plan, grantees will refer to REDD Bulletin 10-25 (or any subsequent replacement versions) and the Implementation Notebook.

### **10. Language Access Plan (LAP)**

As recipients of federal financial assistance, grantees have an obligation to reduce language barriers that can preclude meaningful access by Limited English Proficient (LEP) persons to important government programs, services, and activities. Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000(d) and its implementing regulations require that recipients take responsible steps to ensure meaningful access by LEP persons. Applicants will be required to submit a Language Access Plan using the approved recommended template from REDD. The plan will be submitted for municipality and or county using the thresholds established by REDD. The plan will address the LAP policy, translation of required vital documents, and requirements for citizen participation.

### **11. Local Economic Benefit (Section 3)**

Section 3 of the Housing and Urban Development Act of 1968, as amended, contains requirements governing programs providing direct financial assistance to public recipients and related contractors (or subcontractors).

For each year that a **CDBG-CV** project is active, a recipient must describe a strategy whereby opportunities in employment and procurement arising out of a **CDBG-CV** assisted project are identified and made available to low income residents within the **CDBG-CV** assisted area to the greatest extent feasible. This strategy must include (1) identification of training and technical assistance resources to prepare low income residents for employment and procurement opportunities, (2) attempts to reach the numerical targets for new hires set forth in the Section 3 regulation, which applies to recipients receiving \$200,000 or more in non-administrative line items expended for construction contracts of at least \$100,000 per contract, and (3) education of low-income residents within the **CDBG-CV** assisted area about the components and opportunities of the program. **Once applicants are awarded funds, recipients will be required to submit a Section 3 Plan using the approved REDD template. In addition, applicants will be required to coordinate additional activities as it relates to Section 3 with the REDD Compliance Section.**

### **12. Environmental Review**

Recipients of **CDBG-CV** funds are required to comply with the requirements of the National Environmental Policy Act of 1969 (NEPA) found at 24 CFR Part 58 and the NC State Environmental Policy Act and complete an Environmental Review Record (ERR). Do not submit the Environmental Review Record (ERR) with the application. Please follow procedures outlined in REDD's Environmental Technical Assistance Handbook. Copies of the ERR can be secured from REDD. 24 CFR Part 58 (Environmental Regulations) require certain notices to be prepared and published by the local government applicant. This procedure is described in 24 CFR 58.40-47 and requires certain time periods to be allowed for public comment. REDD must receive evidence of the publication of these notices as well as a Request for Release of Funds and Environmental Certification. Upon REDD determination that the public comment periods have elapsed, REDD will issue a letter approving the release of funds. No CDBG funds for non-administrative activities will be released prior to the date of issuance of the letter approving the release of funds. Compliance Staff should be contacted concerning questions with the environmental review process.

### 13. Floodplain

Recipients must provide REDD with a certification on official letterhead (Local Government entity/municipality) signed by the CEO stating that the project area is not in a floodplain; or with certification that the recipient participates in the floodplain insurance program, all properties assisted in the project will be covered for floodplain insurance prior to beginning construction of the property, and all public facilities will be constructed to comply with the applicable floodplain regulations.

### 14. Section 504 of the Rehabilitation Act of 1973

The local government applicant must complete a Self-Evaluation plan and Transition Plan (if required) as required by Section 504 to ensure that it does not discriminate by reason of a person's disability.

Recipients of **CDBG-CV** funds are required to comply with the provisions of Section 504 of the Rehabilitation Act of 1973, as amended, and the HUD implementing regulations at 24 CFR, Parts 8 and 9. The requirements of Section 504 apply to any recipient of federal **CDBG-CV** funds for any program or activity carried out directly or through another recipient, successor, assignee, or transferee.

The Grant Agreement will require recipients to complete the Section 504 Survey and Transition Plan, covering policies, practices and physical accessibility and notify affected persons that it does not discriminate on the basis of handicap. (The latter notification action is a requirement if the recipient has 15 or more employees.) This plan will not satisfy all the requirements of the Americans with Disabilities Act, but it will meet the minimum requirements for a **CDBG-CV** assisted project.

### 15. Residential Anti-Displacement and Relocation Assistance Plan

A plan for residential anti-displacement and relocation must be documented or submitted with the application. All occupied and vacant occupiable low and moderate-income dwelling units demolished or converted to a use other than as low/moderate income housing must be replaced within three years of the commencement of the demolition or rehabilitation related to the conversion.

Once **CDBG-CV** funds are awarded, recipients must have a plan to minimize residential displacement and to provide relocation assistance to displaced residents in a timely manner. Compliance with the plan must be documented, including the information made public and the means used to make it public.

The plan must include a description of the activity, a location map, a time schedule, dwelling data on target and replacement homes, funding sources, a schedule for replacement or relocation and the basis for concluding that replacement dwellings will remain low-moderate income for at least 10 years. A guide form for developing the plan should be obtained from REDD once an award is received.

**NOTE:** Due to potential changes regarding compliance with Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA) and Section 104 (d) of the Housing and Community Development Act, potential projects involving acquisition, relocation, and demolition will be reviewed closely by REDD.

When or if it is unclear as to whether the "contiguous lots" criterion is applicable, REDD will request a determination from HUD officials. Grantees are responsible for initiating the request with REDD and should allow 45 days for a reply.

## **16. Americans with Disabilities Act (ADA)**

State and local governments are required to comply with the provisions of Title I of the Americans with Disabilities Act (ADA) which protects qualified individuals with disabilities from discrimination in all state and local government programs and activities including employment.

Governments with 25 or more employees were subject to the law after July 26, 1992, and governments with 15 or more employees after July 26, 1994. If a government is not covered by Title I of the Act, Section 504 of the Rehabilitation Act of 1973 applies. All governments receiving federal financial assistance will continue to be covered by Section 504. REDD will continue to monitor for only Section 504 compliance until otherwise required by HUD.

## **17. Lead-Based Paint Hazards**

Projects involving rehabilitation of residential structures require compliance with the federal Lead-Based Paint Hazard Reduction Act of 1992 and the "Lead-Based Paint Hazard Reduction Guidelines" issued November 1, 1993 by REDD. While residential structures are not likely to be involved with most **CDBG-CV** projects, local government grantees are advised to determine state and county health requirements if there is any rehabilitation or demolition of structures that are likely to have lead-based paint present.

## **18. Reporting**

Provide an update on the status of project activities, jobs created, and financial expenditures. REDD will expect participants to share their success stories with REDD. REDD requests copies of all published press articles, TV coverage, scheduled ribbon cuttings, and other events and milestones. Periodic photographs should document project stages, training, events and successes.

An Annual Performance Report (APR) is due at the close of each calendar year and an annual financial audit of the CDBG program is due at the close of each fiscal year in which at least \$25,000 in CDBG funds were received. The audit may be performed in conjunction with the regular independent audit of the recipient and will contain an examination of all financial aspects of the CDBG program as well as a review of the procedures and documentation supporting the recipient's compliance with applicable statutes and regulations. A Final Performance Report and audit will be required prior to grant closeout.

## **19. Monitoring**

REDD will monitor the project through mechanisms, including review of quarterly and annual reports received from the grant recipient, through phone/email/letter correspondence, through receipt of all published press articles about the project as provided to REDD by the local government, and through on-site monitoring visits.

REDD staff will notify the grantee at least 30 days before on-site monitoring visits and the monitoring forms are located on the website. Complete the monitoring forms per the approved application activities and have the prepared forms ready for the monitoring visit. Any performance findings or administrative concerns resulting from the monitoring review must be mutually resolved before a grant can be formally closed.

## **20. Financial Management Requirements**

REDD will monitor the grantee to determine compliance with the financial management requirements. The review will determine if records are maintained in compliance with 2 CFR, Part 200-UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS, and other State of North Carolina requirements. This monitoring is performed through desktop audit and at each on-site visit. Typically, ledgers, invoices, canceled checks, bank statements

and requisitions are reviewed to see that the grantee has an adequate system of financial management. REDD staff may also make specific requests to review information or documentation relating to financial management of a grant.

### **21. SAM.gov Registration**

The Federal Funding Accountability and Transparency Act (FFATA) of 2006 mandates specific reporting requirements for recipients of federal funds. Grants Administration is required by FFATA to submit information to the Office of Management and Budget (OMB) through an electronic Sub Award Reporting System (FSRS) on all grant awards greater than \$25,000 which are awarded on or after October 1, 2010.

In July 2012, the General Services Administration (GSA) combined the Central Contractor Registration (CCR/Fed Reg), Online Representations & Certifications Application (ORCA) and the Excluded Parties List System (EPLS) into one main contractor database. This database was named System for Award Management or better known as the SAM registration.

Since REDD is required to report information as a part of FFATA for grants awarded after October 1, 2010, the SAM.gov registration will be required prior to submission of a **CDBG-CV** application. Once obtained, the SAM.gov registration must be updated or renewed at least once a year. Rural Economic Development staff will monitor for compliance with this requirement.

### **22. Use of NC Licensed Professionals**

While not mandatory, REDD strongly recommends the use of North Carolina licensed professionals on all projects. This includes housing inspectors, electricians, HVAC installers and repairers, plumbers, and general contractors. However, it is important to note that bids and dwellings that are \$30,000 and greater can **ONLY BE ACCEPTED BY A LICENSED GENERAL CONTRACTOR**, licensed by the State of North Carolina per Article 1 of Chapter 87 of the General Statute.

### **23. Other Requirements and Attachments**

Recipients will also be required to comply with any subsequent requirements issued by HUD and/or Rural Economic Development Division. Consult the Required Attachments section in the application. Please note that if key items are not submitted with the application, it will be returned to the local government.

## **APPLICATION PROCESS AND SUBMISSION REQUIREMENTS**

**REDD will accept applications on a first-come, first-served basis beginning Tuesday, September 1, 2020.** Applications may be hand-delivered, mailed through the U. S. Post Office, or delivered by private and overnight delivery companies such as UPS, Fed Ex, etc. The **NC CDBG-CV** Program Manager is available should you have questions.

### **Deliberate Misrepresentation of Information (commonly called fraud)**

Applications will be reviewed based on the information and numbers given by the applicant whose chief elected official has certified the correctness of the contents. ***Any determination that deliberates misrepresentation (or fraud) has occurred will result in the disqualification of the applicant and/or the rescission of a grant at any point from the award to closeout.***

**Applicants must submit two (2) complete originals of the application.** Both applications must have the original signature of the chief elected official on the Application Summary Form and any other documents that require official signatures.

<b>If using the U. S. Postal Service, mail to:</b> Valerie D. Moore, Section Chief Rural Economic Development Division/ State CDBG Program NC Department of Commerce 4346 Mail Service Center Raleigh, N.C. 27699-4346	<b>If using overnight or in-person delivery, deliver to:</b> NC Department of Commerce Rural Economic Development Division/ State CDBG Program 301 N. Wilmington Street, 4 <sup>th</sup> Floor Raleigh, N.C. 27699-4346
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### PROGRAM CONTACT

For technical assistance please contact the **NC CDBG-CV** Program Manager:

**Valerie D. Moore**, CDBG Section Chief

E-mail: [valerie.moore@nccommerce.com](mailto:valerie.moore@nccommerce.com)

Telephone: (919) 814-4673 (Office) (919) 414-7864 (Mobile) Fax: (919) 715-0096

## SAMPLE Citizen Participation Template

### CITIZEN PARTICIPATION PLAN

This plan describes how the Unit of Local Government (ULG) Name will involve citizens in the planning, implementation and assessment of the Community Development Block Grant (CDBG) program. The funds must be used for projects which benefit low and moderate-income persons and aids in the elimination and prevention of slums and blight. The program is intended to assist governments in understanding neighborhood improvement programs. The regulations give ultimate responsibility for the design and implementation of the program to local elected officials and require that citizens be given an opportunity to serve in a key advisory role to these elected officials.

#### SCOPE OF CITIZEN PARTICIPATION

Citizens will be involved in all stages of the CDBG program, including program implementation, assessment of performance and design of changes in the Citizen Participation Plan. There will be three (3) general mechanisms for their involvement:

1. To serve as an advisory committee to the project;
2. To attend or hold public hearings or community meetings; and
3. To provide individual citizen efforts in the form of comments, complaints or inquiries submitted directly to the Program Administrators or designated Town official.

#### PROGRAM IMPLEMENTATION

Citizen participation in program implementation will occur primarily through consultation with the Type of ULG. The Type of ULG will be asked to review and comment on specific guidelines for approved projects. They will also meet to review any program amendments, budget revisions and program modifications. All such changes will be discussed with the Type of ULG and their comments considered prior to acting. If program amendments require approval from the North Carolina Department of Commerce, a public hearing shall be held, specifically on the amendment. Citizens may also be involved in implementation of projects specifically requiring citizen participation, such as self-help projects. Their roles will be defined as the project develops. Technical assistance will be available as needed.

#### PROGRAM ASSESSMENT

Program assessment activities by citizens will occur in a variety of ways. A performance hearing will be held thirty to sixty (30 to 60) days prior to the start of planning for the next program year. The Program Amendment will be asked to provide citizen commentary for the Grantee Performance Report.

As a part of the orientation to the program offered at the public hearing, citizens will be invited to submit comments on all aspects of program performance through the program year. Comments should be submitted in writing to Name of ULG Representative. He or She will respond in writing within ten (10) days. If the response is unsatisfactory, the complainant should write directly to The ULG Chief Elected Official. He or She shall respond within ten (10) days.

If the citizen is still dissatisfied, he/she should write to the NC Department of Commerce, Rural Economic Development Division/State CDBG Program, 4346 Mail Service Center, Raleigh, NC 27699-4346, Attention: Citizen Participation Matter. Program staff will also be available during normal business hours to respond to any citizen inquiries or complaints at 919-814-4663

The Citizen Participation Plan will be subject to annual review and proposed revision, to occur in the period between the performance hearing and the public hearing on the subsequent year’s application.

**TECHNICAL ASSISTANCE**

Technical Assistance will be provided to citizen organizations and groups of low/moderate income persons or target area residents upon request to Unit of Local Government (ULG) Name. Such assistance will support citizen efforts to develop proposals, define policy and organize for the implementation of the program. It is expected that such assistance will be provided directly to the Type of ULG in response to their request. Assistance could be provided in the form of local presentations, informational handouts, research of a specific issue or other short-term efforts.

**PUBLIC INFORMATION**

The Unit of Local Government (ULG) Name will also undertake public information efforts to promote citizen participation. These efforts will include the following:

1. Public Notice of all Public Hearings will be published in the non-legal section of the local newspaper at least ten (10) days before the scheduled hearing. These notices will indicate the date, time, location, and topics to be considered. These notices will also be made available in the form of press releases, as a public service announcement to local radio stations and will be provided to churches within the target area of distribution.
2. Orientation Information will be provided at the first public hearing. The Program Administrator(s) will make a presentation which covers: (a) the total amount of CDBG funds available and the competitive basis for award; (b) the range of eligible activities; (c) the planning process and the schedule of meetings and hearings; (d) the role of citizens in the program and (e) a summary of other program requirements, such as the environmental policies, fair housing provisions and contracting procedures.
3. A Public File containing program documentation will be available for review at the ULG Office during normal business hours. Included will be copies of the Application, Environmental Review Record, the Citizen Participation Plan and the Annual Performance Report. Other program documents are also available for citizen review on request at the ULG Office consistent with applicable State and local laws regarding personal privacy and obligations of confidentiality.
4. Public Hearings an interpreter will be provided for all non-English speaking individuals and/or deaf individuals.

ADOPTED, this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_

\_\_\_\_\_

*ULG Chief Elected Official*

*ULG authorized signor*

*Town/City/County* \_\_\_\_\_

*Town/City/County* \_\_\_\_\_

**SAMPLE RESOLUTION**

RESOLUTION FOR THE TOWN/CITY/COUNTY OF \_\_\_\_\_ APPLICATION FOR COMMUNITY DEVELOPMENT BLOCK GRANT FUNDING FOR THE \_\_\_\_\_ PROJECT

**WHEREAS**, the \_\_\_\_\_’s Board of Aldermen/Commissioners/Council has previously indicated its desire to assist in community development efforts for housing within the Town/City/County; and,

**WHEREAS**, the Board/Commissioners/Council has held two public hearings concerning the proposed application for Community Development Block Grant funding to benefit (\_\_\_\_\_); and,

**WHEREAS**, the Board/Commissioners/Council wishes the (Town/City/County) to pursue a formal application for Community Development Block Grant funding to benefit (\_\_\_\_\_); and will invest monies in the amount of [[insert] % cash match amount] into the project as committed to in the application.

**WHEREAS**, the Board/Commissioners/Council certifies it will meet all federal regulatory and statutory requirements of the State of North Carolina Community Development Block Grant Program,

**NOW, THEREFORE BE IT RESOLVED**, by the (Town/City/County’s) Board of Aldermen/Commissioners/Council that the (Town/City/County of) is authorized to submit a formal application to the North Carolina Department of Commerce for approval of a Community Development Block Grant to benefit (\_\_\_\_\_).

Adopted this the \_\_ day of \_\_\_\_\_, 20\_\_ in \_\_\_\_\_, North Carolina.

\_\_\_\_\_  
Mayor/Chairman

ATTEST:

\_\_\_\_\_  
Clerk to the Board

# APPLICATION

## NC CDBG Coronavirus (CDBG-CV) APPLICATION CHECKLIST

Use the following checklist as the table of contents for the **CDBG-CV** application. Make sure all the required items are included. If any one of the required items is not included, the application will not meet threshold nor be approved for funding.

### A. Application Submission Requirements and Process Adherence

- Applicant must be an eligible non-entitlement general unit of local government.
- Applicants must submit **two (2) complete originals** of the application.
- Applications must be submitted to REDD in a **three-ring binder** organized with tabs.
- Application Summary Form and all forms requiring official signatures must appear in both applications, complete, and have the original signature of the chief elected official or another documented authorized certifying officer.
- Applications may not be submitted to REDD before **Tuesday, September 1, 2020**.
- The proposed project may address the **Urgent Need National Objective; however, at least 51% low-to moderate persons must benefit for public services and public facilities and 70% low-to-moderate income persons must benefit from special economic development projects.**
- The **NC CDBG-CV** funding request must not exceed **\$900,000**.
- Neither applicant nor any of its critical partners can appear on the Federal or State Suspension of Funds List/Debarment List.
- Applicant must clearly select one or more of the **NC CDBG-CV** activity categories.

**Note: *The NC CDBG-CV Program is an urgent needs program; therefore, a waiver is not required by the NC Department of Commerce if current funding request exceeds \$1,250,000 in applications for local governments in any of the CDBG categories and demonstration programs.***

## B. Required Attachments for NC CDBG-CV Projects

ITEM	TAB LOCATION
<b>DOCUMENTATION OF SYSTEM FOR AWARD MANAGEMENT - SAM.GOV REGISTRATION</b> <input type="checkbox"/> INITIAL <input type="checkbox"/> ANNUAL UPDATE (Please submit/attach a printout of the SAM.gov Registration Information)	
<b>PROJECT DESCRIPTION</b>	
<b>SOURCES AND USES OF FUNDS</b>	
<b>PROJECT BUDGET</b>	
<b>NC CDBG-CV BENEFIT: LOW &amp; MODERATE INCOME</b>	
<b>COMMUNITY DEVELOPMENT PLAN</b>	
<b>CONFLICT OF INTEREST FORM-CHECKLIST</b>	
<b>FEDERAL REQUIREMENTS:</b> <input type="checkbox"/> A. FEDERAL CERTIFICATIONS <input type="checkbox"/> B. DISCLOSURE REPORT FOR APPLICANTS REQUESTING \$200,000 OR MORE. (NOTE: Not required for applicants requesting less than \$200,000 in CDBG funds and not using other Federal assistance.)	
<b>DISCLOSURE REPORT</b>	
<b>STATE CDBG PROGRAM REQUIREMENTS:</b> <input type="checkbox"/> A. REGULATIONS SIGNED AND DATED BY AUTHORIZED OFFICIAL <input type="checkbox"/> B. DISCLOSURE OF CIVIL RIGHTS COMPLAINTS/LAWSUITS SIGNED AND DATED BY CHIEF ELECTED OFFICIAL	
<b>CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS</b>	
<b>FLOOD PLAIN CERTIFICATION:</b> Submit a letter or statement on the local government's letterhead stating the relationship of the site to designated flood zones. Recipients must provide REDD a certification signed by the Chief Elected Official stating that the project area is not in a floodplain; or with certification that the recipient participates in the floodplain insurance program, all properties assisted in the project will be covered for floodplain insurance <i>prior</i> to beginning construction of the property, and all public facilities will be constructed to comply with the applicable floodplain regulations.	
<b>IMPLEMENTATION SCHEDULE FORM</b> (2 originals – one per application)	
<b>HUD IDIS: ACCOMPLISHMENTS &amp; BENEFICIARIES FORM</b> (Form is also on <a href="http://www.nccommerce.com">www.nccommerce.com</a> .)	
<b>THREE REQUIRED MAPS:</b> <input type="checkbox"/> <b>Location Map</b> must show the applicant's jurisdiction. Major highways and roads must be shown drawn to scale. The applicant must label the map, include a legend, and place a boundary line around areas of minority concentrations and of low-and-moderate income families. <input type="checkbox"/> <b>Project Map</b> must include the location of all project activities. It must also show all units bordering the project area whether they are part of the project activities. Commercial units such as shopping centers must also be labeled. Mark all existing and proposed public infrastructure on one map to indicate the relationship of public infrastructure to units to be constructed. The map must be to scale and include a legend.	

<ul style="list-style-type: none"> <li><input type="checkbox"/> <b>Low-Moderate Income Map</b> must illustrate the distribution/concentration of low-moderate income persons in the jurisdiction.</li> </ul>	
<p><b>LETTERS OF COMMITMENT, CONDITIONAL COMMITMENT, AND EVIDENCE OF FUNDING APPLICATION</b> from all other (i.e., non-CDBG) sources of funds and/or resources.</p>	
<p><b>CAPACITY, EXPERIENCE, AND ORGANIZATIONAL STRUCTURE</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> List of Names and Duties for the Local Government Staff for the Proposed Project and Other Essential Players</li> <li><input type="checkbox"/> Resume for each identified person associated with the proposed project</li> <li><input type="checkbox"/> Organizational Chart Identifying the Reporting Relationship and/or Interaction Among Key Players for the Proposed Project</li> <li><input type="checkbox"/> Chart of Previous CDBG or other federal or state experience relevant to the proposed project. List project name, CDBG funding amount, program category, and brief description.</li> </ul>	
<p><b>RESOLUTION TO SUBMIT CDBG-CV APPLICATION AND EVIDENCE OF THE FIRST OF TWO REQUIRED PUBLIC HEARINGS.</b> Provide copies of the Board/Council Resolution to Apply, posted Public Hearing Notices, Certified Meeting Minutes for both Public Hearings, and evidence outreach efforts to inform the public of each public hearing. The outreach efforts must be conducted as noted in the Citizen Participation Plan.</p>	
<p><b>APPRAISALS</b> are required for all CDBG-CV land acquisition activity only.</p>	
<p><b>PHOTOGRAPHS TO DOCUMENT EXISTING CONDITIONS</b></p>	
<p><b>DUPLICATION OF BENEFITS POLICY AND PROCEDURES</b></p>	
<p><b>PLAN TO MINIMIZE RESIDENTIAL DISPLACEMENT AND TO PROVIDE RELOCATION ASSISTANCE TO DISPLACED CITIZENS IN A TIMELY MANNER</b></p>	
<p><b>ALL SPECIAL ECONOMIC DEVELOPMENT PROJECTS MUST PROVIDE THE FOLLOWING BELOW:</b></p>	
<ul style="list-style-type: none"> <li><input type="checkbox"/> Employee Profile (<i>Complete one per business included in the project.</i>)</li> <li><input type="checkbox"/> Current NCUI 101 (<i>Required for expansion/retentions projects. For form, see <a href="https://des.nc.gov/need-help/forms-and-documents">https://des.nc.gov/need-help/forms-and-documents</a></i>)</li> <li><input type="checkbox"/> Articles of Organization/Incorporation or related-business incorporation documents.</li> <li><input type="checkbox"/> Legally Binding Commitment (<i>Complete one per business included in the project.</i>)</li> <li><input type="checkbox"/> Private Company Commitment Form (<i>Complete one per business included in the project.</i>)</li> <li><input type="checkbox"/> Limited Waiver of Confidentiality (<i>Complete one per business included in the project.</i>)</li> <li><input type="checkbox"/> Performance Indicators Form (<i>Complete for the entire project.</i>)</li> </ul>	
<p><b>ALL PROJECTS WITH NEW CONSTRUCTION AND SUBSTANTIAL REHABILITATION REGARDLESS OF FUNDING STREAM MUST PROVIDE THE FOLLOWING BELOW:</b></p>	
<ul style="list-style-type: none"> <li><input type="checkbox"/> 10-Year Minimum Operating Pro forma</li> <li><input type="checkbox"/> Cost Estimates</li> <li><input type="checkbox"/> Site and Architectural Plans and Renderings: Attach one copy each of site and architectural plans for the proposed project. Identify any unit features designed to serve populations with special housing needs (e.g., persons with disabilities, the elderly, large families, etc.)</li> </ul>	

**APPLICATION SUMMARY - NC CDBG CORONAVIRUS (CDBG-CV) PROGRAM**

<b>1. Applicant's name</b>			<b>2. Date</b>
a. Mailing Address			<input type="checkbox"/> <b>Original</b> dated: ____/____/____  <input type="checkbox"/> <b>Amendment</b> dated: ____/____/____
b. City and Zip Code			
c. County			
d. Contact Person			
e. Telephone Number			
f. Fax Number			
g. e-mail address			
<b>h. DUNS Number</b>			
<b>3. Preparer's Name</b>			<b>c. Telephone Number</b>
a. Firm's Name			
b. Mailing Address			
c. City and Zip Code			<b>f. Fax Number</b>
d. e-mail address			
<b>4. Developer's Name</b>			<b>c. Telephone Number</b>
a. Mailing Address			
b. City and Zip Code			<b>a. Fax Number</b>
<b>5. Development Name</b>			
a. Street Address			
b. City and Zip Code			
c. Ownership Entity			
<b>6. Program Category</b>	<b>7. Project Number</b>	<b>8. Project Name</b>	<b>9. CDBG-CV Funds Requested</b>
CV	1		\$
<b>10. Certification by the Chief Elected Official</b>			
a) I certify that to the best of my knowledge and belief: <ol style="list-style-type: none"> <li>1. Data in this application is true and correct,</li> <li>2. Opportunities have been provided for citizen participation and access to information concerning the proposed activities,</li> <li>3. This document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached certifications and state standards if the assistance is approved.</li> </ol>			
b) I acknowledge that, if funded, this application is part of the Grant Agreement.			
a. Typed Name of Chief Elected Official ➤			
b. Typed Title ➤			
c. Signature ➤			
d. Typed Date ➤			
<b>Date Received:</b>		<b>For REDD Use Only</b>	<b>Application Number:</b>

## NC CDBG-CV PROGRAM CATEGORY SELECTION FORM

### AREAS OF FOCUS: *Check applicable area(s) of focus.*

- Support families and communities through telehealth support and public services.*
- Protect the most vulnerable and high-risk populations.*
- Assist small businesses with economic recovery.*
- Address testing, tracing, and trends.*

### **PUBLIC SERVICES:** *Check applicable activities.*

Public Service	Description
<input type="checkbox"/> Subsistence Payments	Provide up to three months emergency payments on behalf of individuals or families, generally for the purpose of preventing homelessness. Utility payments to prevent service disconnection and rent/mortgage payments to prevent eviction. Local governments may partner with a non-profit service provider such as United Way.
<input type="checkbox"/> Employment Training	Carry out job training to expand the pool of health care workers and technicians that are available to treat disease within a community.
<input type="checkbox"/> Testing and Diagnosis	Provide testing, diagnosis, or other services at a fixed or mobile location.
<input type="checkbox"/> Equipment, Supplies, and Materials	Provide equipment, supplies, and materials necessary to carry-out a public service.
<input type="checkbox"/> Food Distribution	<u>Meal Delivery:</u> Deliver meals on wheels to quarantined individuals or individuals that need to maintain social distancing due to medical vulnerabilities.  <u>Food Bank/Pantry Services:</u> Provide support to food banks and food pantries.
<input type="checkbox"/> Health Services	Increase the capacity and availability of targeted health services for infectious disease response within existing health care facilities.
<input type="checkbox"/> Mental Health Services	Increase the capacity and availability of targeted mental health services for individuals and families impacted by Coronavirus.
<input type="checkbox"/> Broadband and Communications Support	Provide broadband services inclusive of internet access and hardware/software purchases to connect individuals to jobs, schools, financial institutions, and healthcare providers.
<input type="checkbox"/> Services for Special Needs Populations such as seniors, youth age 13-19, and disabled/handicapped	Provide services for special needs populations that prevent, respond to, or prepare for COVID-19. Applicants must contact the CDBG-CV Manager for approval prior to submitting the application.
<input type="checkbox"/> Other (Please describe in the description box to the right.)	

### **PUBLIC FACILITIES AND IMPROVEMENTS:** *Check applicable activities.*

**Note:** Public Facilities are required to be owned by the local unit of government. However, Non-profits may also own and operate the building if the building is open to the general public. Also, the local government will need to have lien on the property and Legally Binding Commitment which includes the applicable contract provisions.

Public Facility Activity	Description
<input type="checkbox"/> Acquisition, <input type="checkbox"/> Construction, <input type="checkbox"/> Reconstruction, or <input type="checkbox"/> Installation of public works, facilities, and site or other improvements	Health Facilities may be created/supported by: <ul style="list-style-type: none"> <li>• Constructing a testing and diagnosis, or treatment facility.</li> <li>• Rehabilitate a community facility to establish an infectious disease treatment clinic.</li> <li>• Acquiring and rehabilitating, or constructing, a group living facility that may be used to centralize patients undergoing treatment.</li> </ul>
<input type="checkbox"/> Rehabilitation of building and improvements (including interim assistance)	Rehabilitate a commercial building or closed school building to establish an infectious disease treatment clinic  Acquire, and quickly rehabilitate (if necessary) a motel or hotel building to expand capacity of hospitals to accommodate isolation of patients during recovery.  Make interim improvements to private properties to enable an individual patient or frontline health care workers to remain quarantined on a temporary basis.
<input type="checkbox"/> Broadband and Communications Support	Provide broadband services inclusive of infrastructure development, internet access, wiring, and hardware and software purchases to connect individuals to jobs, schools, financial institutions, and healthcare providers.

**SPECIAL ECONOMIC DEVELOPMENT ASSISTANCE: Check applicable activities.**

Proposed projects are subject to **CDBG-CV** cost per job limits and the limit for this project is \$85,000 per full-time job or less. For example, a \$850,000 grant must result in the creation of at least 10 new jobs [\$850,000 grant total/\$85,000 per job = 10 jobs created]. At least 70% of the jobs must go to LMI persons. In other words, out of 10 jobs, 7 must go to LMI persons.

Economic Development Activity	Description
<input type="checkbox"/> Small Business and Microenterprise Assistance	Provide grants to support new businesses or business expansion to create jobs and manufacture medical supplies necessary to respond to infectious disease.  Avoid job loss cause by business closures related to social distancing by providing short-term working capital assistance to small businesses to enable retention of jobs held by low-to-moderate income persons.  Provide financial assistance to for-profit businesses to acquire property, build, expand, or rehabilitate a building, lease space to operate, or purchase equipment, or provide operating capital.

	Retrofit workspaces for for-profit businesses to promote social distancing.
<input type="checkbox"/> Microenterprise Assistance is defined as a commercial enterprise that has <u>five or fewer employees</u> , one or more of whom owns the enterprise.	Provide technical assistance and grants to establish, stabilize, and expand microenterprises that provide medical, food delivery, cleaning, and other services to support home health and quarantine.

**PROJECT DESCRIPTION- NC CDBG-CV**

The project description must contain the following information and should answer the following questions. Limit total responses to 4 pages.

**Project Title:**

**Project Overview:**

The applicant must provide a summary of the proposed project.

1. Provide a description of the proposed activity or activities and explain how each addresses the health and/or economic impact of COVID-19 in your community. Specifically state how the activity prevents, responds to, prepares for the Coronavirus.
2. What is the proposed scope of this project?
3. What area(s) of focus for the **CDBG-CV Program** are most applicable to the proposed project?
4. How will this be done?

**Partners:**

1. Who are the project partners and explain the significance of the project partners and how their involvement will bolster the success of the project? Partnerships are strongly encouraged.
2. What will be the level of effort and cost of these services? Include local match and in-kind services in the description. A match is not required under this program but, it will be favorably considered during the evaluation process. **NOTE: Be sure the costs that are discussed here align with the proposed budget submitted with this application.**

**Expected Results and Outcomes:**

1. What are project objectives and desired outcomes? Be specific, action-focused, achievable within grant period, realistic, and time-bound.
2. How does the project spur economic and community development growth?
3. Attach the Accomplishment and Beneficiaries form for each **NC CDBG-CV** activity except planning and administration.

**Project Administration and Capacity:**

1. What is the applicant’s administrative capacity to manage the grant financially and to comply with CDBG-CV program requirements?

2. What is the relationship between the applicant and other participants, other local governments, public and private sector organizations? Are they committed to the project? (Include letters of support, as applicable).
3. Who will oversee and coordinate the project and how will parties be selected to carry out funded work?
4. List the key players for the local government and partners to carry out the project. Include an organizational chart, a description of duties for each player's, and a resume.

**Businesses:**

1. Explain the disruption experienced due to the Coronavirus.
2. Provide evidence of viability before the COVID-19 pandemic.
3. Provide at least one-year business operations and at least one-year tax returns.
4. Provide evidence that federal and state taxes are current or a payment plan.
5. Provide evidence that the business has 100 or fewer employees. State the total number of employees prior to disruption and the number of full-time jobs to be created and/or retained.
6. Provide process to have the benefitting employee self-certify current income. Please note all employees must certify low-to-moderate income status as an individual, not household. The amount must appear in the certification.

5. SOURCES AND USES OF FUNDS CHART

Sources	CDBG-CV	Local Gov't	Other Source 1	Other Source 2	Total
<b>Uses</b>					
1. Acquisition					
2. Administration					
3. Architectural Barriers					
4. Clearance Activities					
5. Code Enforcement					
6. Disposition					
7. Fire Protection					
8. Flood & Drainage					
9. Historic Preservation					
10. Machinery & Equipment					
11. Neighborhood Facility(ies)					
12. Other Activities					
13. Other Public Facilities					
14. Parking Facilities					
15. Parks & Playgrounds					
16. Pedestrian Improvements					
17. Planning					
18. Public Services					
19. Public Utilities					
20. Rehabilitation-Private					
21. Rehabilitation-Public					
22. Relocation Assistance					
23. Sr. Handicapped Centers					
24. Sewer Improvements					
25. Solid Waste Facility(ies)					
26. Street Improvements					
27. Water Improvements					
28. Working Capital					
<b>Total Uses</b>					

## PROJECT BUDGET – NC CDBG-Coronavirus (CDBG-CV)

102020 BCC Meeting

1. CDBG-CV Grant Amount Requested		\$	
2. Other Funds (List here.)		\$	
3. Total Project Resources		\$	
<b>4. Activity</b>	<b>5. CDBG Costs</b>	<b>6. Other Costs</b>	<b>7. Total Project Costs (Columns 5 + 6 = Column 7)</b>
<b>a. Acquisition</b>			
<b>b. Disposition</b>			
<b>c. Public facilities and improvements</b>			
1. Senior and handicapped centers			
2. Parks, playgrounds and recreation facilities			
3. Neighborhood facilities			
4. Solid waste disposal facilities			
5. Fire protection and equipment			
6. Parking facilities			
7. Public utilities other than water and sewer			
8. [Reserved]			
9. Street improvements			
10. Flood and drainage improvements			
11. Pedestrian improvements			
12. Other public facilities			
13. Public sewer improvements			
14. Public water improvements			
<b>d. Clearance activities</b> (i.e., reconstruction and temporary relocation expenses.) Clearance items should appear on line d.			
<b>e. Public services</b>			
<b>f. Relocation assistance</b>			
<b>g. Construction, rehabilitation, and preservation activities</b>			
1. Construction or rehabilitation of commercial and industrial buildings			
2. Rehabilitation of privately-owned dwellings (all rehabilitation of privately-owned dwellings activities should be included on this line item)			
3. Rehabilitation of publicly owned dwellings			
4. Code enforcement			
5. Historic preservation			
<b>h. Development financing</b>			
1. Working capital			
2. Machinery and equipment			
<b>i. Removal of architectural barriers</b>			
<b>j. Other activities</b>			
<b>SUBTOTAL</b>	\$	\$	\$
<b>k. Planning (Included in 10% Cap minus Administration not to exceed \$3,500)</b>			
<b>l. Administration (10% cap of total Grant Amount Awarded)</b>			
<b>TOTAL</b>	\$	\$	\$

Name of Applicant:

### NC CDBG CORONAVIRUS: LOW AND MODERATE INCOME

Complete this form for all **NC CDBG-CV** activities.

1. Activity	Total No. of Persons Benefiting 2.	No. of Low-Income Persons Benefiting 3.	% of Low-Income Persons Benefiting 4.	No. of Moderate-Income Persons Benefiting 5.	% of Moderate-Income Persons Benefiting 6.	CDBG-CV Cost 7.	CDBG-CV Funds to Benefit Low Income Persons 8.	CDBG-CV Funds to Benefit Moderate Income Persons 9.	CDBG-CV Funds to Benefit Low- & Moderate-Income Persons 10.
a. Acquisition									
b. Disposition									
c. Public facilities and improvements									
(1) Senior and handicapped centers									
(2) Parks, playgrounds and recreation facilities									
(3) Neighborhood facilities									
(4) Solid waste disposal facilities									
(5) Fire protection and equipment									
(6) Parking facilities									
(7) Public utilities other than water and sewer									
(8) [Reserved]									
(9) Street improvements									
(10) Flood and drainage improvements									
(11) Pedestrian improvements									
(12) Other public facilities									
(13) Public sewer improvements									
(14) Public water improvements									
d. Clearance activities									

NC CDBG-CV Benefit: Low and Moderate-Income Page 2						Name of Applicant:			
1. Activity	Total No. of Persons Benefiting 2.	No. of Low-Income Persons Benefiting 3.	% of Low-Income Persons Benefiting 4.	No. of Moderate-Income Persons Benefiting 5.	% of Moderate-Income Persons Benefiting 6.	CDBG-CV Cost 7.	CDBG-CV Funds to Benefit Low Income Persons 8.	CDBG-CV Funds to Benefit Moderate Income Persons 9.	CDBG-CV Funds to Benefit Low- & Moderate-Income Persons 10.
e. Public services									
f. Relocation assistance									
g. Construction, rehabilitation and preservation activities									
(1) Construction or rehabilitation of commercial & industrial buildings									
(2) Rehabilitation of privately-owned dwellings									
(3) Rehabilitation of publicly owned dwellings									
(4) Code enforcement									
(5) Historic preservation									
h. Development financing									
(1) Working capital									
(2) Machinery and equipment									
i. Removal of architectural barriers									
j. Other activities									
k. TOTAL						\$	\$	\$	\$
PROJECT INDIVIDUAL BENEFIT $\frac{\text{Column 10, Row k ( )}}{\text{Column 7, Row k ( )}} \times 100 =$									

## **CORONAVIRUS (COVID-19) COMMUNITY DEVELOPMENT PLAN**

The applicant must provide a narrative statement describing its community development and housing needs including the needs of low-and-moderate-income households in quantifiable terms as well as short and long-term activities to be undertaken to address these needs. Cite references used for statistical evidence. REDD will use this information to determine if the proposed project addresses community needs.

***[The Community Development Plan must not exceed the three pages.]***

1. What are the housing/community development needs in your jurisdiction?
2. What are the housing/ community development needs of low-and-moderate-income persons in your jurisdiction?
3. What are the water and wastewater needs of low-and-moderate-income persons in your jurisdiction?
4. What are other community needs of low-and-moderate- income persons in your jurisdiction (streets, drainage, non-basic needs, etc.)?
5. What activities does your community plan to undertake to address the need(s) identified in questions 1-4 above?
  - a. Why were these need(s) selected for this project instead of other identified needs?
  - b. If funded, what will be the impact of the project?
6. Explanation of how does this project relates to other activities (current and future) in the jurisdiction, including the development of industrial and/or commercial sites, installation of water and sewer lines and facilities, force main lines, streets, etc.?

## **DUPLICATION OF BENEFITS PLAN (Applies to all NC CDBG-CV Activities)**

A copy of the duplication of benefits procedures must accompany the CDBG-CV application. Applicants must develop and maintain adequate procedures to prevent a duplication of benefits. Procedures must include persons/entities receiving CDBG-CV funds must repay duplicative assistance and a method to assess whether CDBG-CV funds will duplicate financial assistant that is already received or likely to be received by acting reasonably.

## CONFLICT OF INTEREST CHECKLIST

To assist applicants with determining if a potential conflict of interest exists, as defined in 24 CFR Part 570.489 (h), please provide responses to the following questions. For any “yes” response, refer to Bulletin 10-8 for next steps.

1. Does any person involved with this potential **CDBG-CV** project have family or business ties with any of the local government elected officials or local government staff?  
 **Yes**  **No**, if yes, please describe.
2. Has any person involved with this potential **CDBG-CV** project requested or received an opinion about a potential conflict of interest from an attorney or from the North Carolina Ethics Commission?  
 **Yes**  **No**, if yes, please describe.
3. Does any person involved with this potential **CDBG-CV** project have an ownership interest in an entity that is directly affected by activities proposed in the application?  
 **Yes**  **No**, if yes, please describe.
4. Will any person involved with this potential **CDBG-CV** project derive any income or commission as a direct result of action taken by the local government elected board or its staff?  
 **Yes**  **No**, if yes, please describe.

## FEDERAL REQUIREMENTS AND CERTIFICATIONS

The applicant hereby assures and certifies that:

- a) It will comply with all applicable federal and state laws, regulations, rules and Executive Orders.
- b) It possesses legal authority to apply for the grant, and to execute the proposed program.
- c) Its governing body has duly adopted or passed as an official act a resolution, motion or similar action authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the identified as the official representative of the applicant to act about the application and to provide such additional information as may be required.
- d) It is following a detailed, written citizen participation plan which will provide opportunities for citizen participation, hearings, and access to information with respect to its community development program that are comparable to those required of grantees under Section 104(a) of the Act and in accordance with Rule .1002 of the North Carolina Community Development Block Grant Administrative Rules.
- e) Its chief elected official or other officer of the applicant if assistance is approved by Rural Economic Development Division:
  - 1) Consents to assume the status of the “responsible Federal Official” as that term is used in Section 102 of the National Environmental Policy Act (NEPA), Section 104(f) of Title 1 of the Housing and Community Development Act of 1974, as amended, and other provisions of Federal law, as specified in 24 CFR 58.5 which further the purposes of NEPA.
  - 2) Is authorized and consents on behalf of the applicant and himself to accept the jurisdiction of the Federal courts for the purpose of enforcement of his responsibilities as such an official.
  - 3) Consents to review and comment on all Environmental Impact Statements prepared for Federal projects which may have an impact on the applicant’s/recipient’s community development program.
  - 4) Consents to perform all coordination functions required under 24 CFR Part 58 and 40 CFR Parts 1500-1508.
- f) The **NC CDBG-CV Program** has been developed to give maximum feasible priority to activities which will benefit low and moderate-income families or aid in the prevention or elimination of slums and blight. The requirement for this certification will not preclude Commerce from approving an application where the applicant certifies, and Commerce determines, that all or part of the **NC CDBG-CV Program** activities are designed to meet other community development needs having urgency as specifically explained in the application in accordance with Section .0800 of 4 NCAC 19L of the North Carolina Administrative Code.
- g) Its program will be conducted and administered in conformity with Public Law 88-352 and Public Law 90-284, and that it will affirmatively further fair housing.
- h) It will comply with all provisions of 4 NCAC 19L of the North Carolina Administrative Code, entitled North Carolina Community Development Block Grant Program.
- i) It will give Commerce, HUD and the Comptroller General through any authorized representative access to and the right to examine all records, books, papers or documents related to the grant.

- j) It will establish safeguards to prohibit employees from using positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
- k) It will follow a residential anti-displacement and relocation assistance plan that is in accordance with the provisions of Section 104(d) and all other provisions of the Act.
- l) It will not attempt to recover any capital costs of public improvements assisted in whole or part under Section 106 of the Act or with amounts resulting from a guarantee under Section 108 of the Act by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged to assessment made as a condition of obtaining access to such public improvements, unless (i) funds received under Section 106 are used to pay the proportion of such fee or assessment that relates to the capital costs of such public improvements that are financed from revenue sources other than under this title; or (ii) for purposes of assessing any amount against properties owned and occupied by persons of low and moderate income who are not persons of very low income, the grantee certifies to the Secretary or such State, as the case may be, that it lacks sufficient funds received under Section 106 to comply with requirements of clause (i).
- m) It has or will develop a plan that identifies community development and housing needs, including the needs of low and moderate-income persons, and the activities to be undertaken to meet such needs.
- n) Its notification, inspection, testing and abatement procedures concerning lead-based paint will comply with 24 CFR Part 35.
- o) When issuing statements, press releases, request for proposals, bid solicitation and other documents describing the above-mentioned program such as the environmental review, public hearings, fair housing notices, etc., it shall clearly state:
  - 1) The percentage of the total cost of the project which will be financed with **CDBG-CV** money, and 2) the dollar amount of **CDBG-CV** funds for the project.
- p)
  - 1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
  - 2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form- LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
  - 3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub grants, and contracts under grant, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

- q) It has adopted and will enforce a policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations and has adopted and is enforcing a policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location which is the subject of such nonviolent civil rights demonstration within its jurisdiction in accordance with Section 519 of Public Law 101-144, (the 1990 HUD Appropriations Act).
- r) All project areas are either not in a floodplain, or if the project area is in a floodplain, the applicant participates in the flood insurance program. All properties assisted in the project will be covered for flood insurance prior to beginning construction, and all public facilities will be constructed to comply with applicable floodplain regulations.

**CERTIFICATION OF ABILITY**

The Town/City/County of \_\_\_\_\_ hereby certifies its ability to meet Federal Performance and Procurement Requirements with Certification as further expanded in the preceding attachments.

**Name of Chief Elected  
Official**

\_\_\_\_\_

**Title**

\_\_\_\_\_

**Signature**

\_\_\_\_\_

**Date**

\_\_\_\_\_

## Disclosure Report Instructions

### Who should complete the report:

All applicants who expect to receive an aggregate amount of covered federal assistance for a project or activity that exceeds \$200,000 are required to make certain disclosures. State **CDBG-CV** funds are covered by the requirement, as are most other programs where funds are administered by or passed through the U.S. Department of Housing and Urban Development. Therefore, all applicants of more than \$200,000 in State **CDBG-CV** funds, including anticipated program income, should complete the report. In addition, any applicants to a State grantee for a sub grant should complete the report if more than \$200,000 in covered assistance is or can reasonably be anticipated. The requirement addresses the aggregate amount of assistance. Therefore, if the applicant anticipates less than \$200,000 in CDBG assistance but, intends to combine the funds with enough other covered assistance (such as Section 8 project-based Housing Assistance Payments) to exceed \$200,000 in total assistance, the applicant must make the disclosures. Any applicant/recipient who is required to complete a disclosure report for another agency in conjunction with a project assisted with State **CDBG-CV** funds may submit a copy of that disclosure report to the Rural Economic Development Division rather than completing a separate report.

Recipients who have previously filed disclosure reports must file update reports if the information in the original report changes either because of later developments subject to disclosure, or because of changes in the amount of government assistance, the sources of funds, or the uses of funds equal to the lower of \$250,000 or 10 percent of the applicable base (usually total project costs), or because of an increase in the financial interest of a person equal to the lower of \$50,000 or 10 percent of such interest.

### Detailed Instructions:

1. Enter the name, address, and telephone number, including area code, of the applicant or recipient.
2. Indicate whether the report is an initial report or an update report.
3. Enter the Social Security Number or the Employer Identification Number of the applicant or recipient.
4. Enter the project name and indicate the location as detailed and specific as possible. In the case of update reports, give the **CDBG-CV** grant number.
5. Enter the total amount of assistance being requested as stated in the application, including anticipated program income. In the case of update reports, enter the total amount of assistance provided per the funding approval and anticipated program income.
6. Indicate whether other government assistance is being provided, or can reasonably be expected to be provided, for the project. Other government assistance includes any loan, grant, guarantee, insurance payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government, a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is being sought.

If other government assistance is provided, or expected to be provided for the project, all such assistance must be disclosed on attachments incorporated into the report. The disclosures should list the granting agency, the program and type of assistance (e.g., grant, loan, guarantee), and the amount expected to be made available.

Disclosures need only be made once, so that if this information is given in the Sources and Uses attachments, this may be indicated by checking the appropriate blank under “6. Other Government Assistance” on the Attachments page of the report.

7. Indicate whether there are persons with a reportable financial interest in the project. “Person” means an individual, corporation or business, unit of general local government or other governmental entity or agency or any other organization or group of people. A reportable financial interest is any financial involvement in the project including equity interest, shares in any profit on resale or distribution of cash or other assets, or receipt of compensation for goods or services provided in connection with the project or activities, which can be expected to exceed the lower of \$50,000 or 10 percent of the assistance sought. Compensation for performance of a contract procured under Federal procurement regulations is not, by itself, a covered financial interest. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

If there are parties with a reportable financial interest, the name and pecuniary interest of the parties must be disclosed in referenced attachments. If the party is an entity such as a unit of government or a corporation, the disclosure must include an identification of each officer, director, and/or principal stockholder. The pecuniary interest disclosure must include the type of participation (such as owner, contractor, investor) and the amount of the financial interest expressed both as a dollar amount and as a percentage of the amount of assistance involved.

8. Reference the statement or statements attached to the report showing the sources and uses of the funds available for, or expected to be available for, the project. Disclosure must be made of the gross amount of funds from all sources, including both governmental and non-governmental sources of funds and private capital resulting from tax benefits. For most projects, the financial forms in the appropriate guidelines will be adequate to document sources and uses. Please note, however, that if the “Other Government Assistance” disclosure section references the Sources and Uses Disclosures, then these Disclosures must identify the program and type of assistance.
9. Certification: The signatory certifies that all information in the report is complete and accurate. That is, except as disclosed in the report and attachments, there is no other government assistance, no other interested parties, and no other sources and uses of funds.

**DISCLOSURE REPORT**

- 1. Applicant/Recipient Name, Address, and Phone:
- 2. **Check One:**     Initial Report     Update Report
- 3. **Social Security Number or Employer ID Number:** \_\_\_\_\_

4. **Project Name and Location:**

5. **Total Amount requested/received** (including anticipated program income):  
\$ \_\_\_\_\_

6. **Other government assistance.** (Check One):

\_\_\_\_\_ No other government assistance is, or is expected to be, provided for this project

\_\_\_\_\_ All other government assistance provided for this project is listed on the table below/attached page(s).

(Note: Disclosures must be complete and accurate but, need to be made only once for this report. If assistance is reported in the Sources and Uses disclosure section, then it need not also be reported here. If there is assistance reportable here, but reported only in the Sources and Uses disclosure, (check here):

\_\_\_\_\_ Assistance is disclosed in Sources and Uses Attachments

<u>Agency Name and Address</u>	<u>Program and Type of Assistance</u>	<u>Amount Requested/Received</u>

7. **Interested Parties.** (Check One):

\_\_\_\_\_ No parties have a reportable financial interest in this project. Interested parties include developers, contractors, consultants, individuals, entities including units of government with a financial interest greater than \$50,000 or 10 percent of the assistance (whichever is lower; being a party to a contract procured under Federal procurement regulations at 2 CFR Part 200 does not, by itself, constitute a reportable financial interest).

\_\_\_\_\_ All parties with a reportable financial interest are listed on table below/attached page(s).

<u>Name and Address</u>	<u>Type of Participation</u>	<u>Interest (\$ and %)</u>

8. All expected sources of funds available or expected to be available for the project or activity and all reportable uses of funds are included in the application for funds and on the following forms (check all that apply):

- CDBG-CV PROJECT BUDGET**
- CDBG-CV LOCAL COMMITMENT FORM**
- Other Attachment(s). Describe: \_\_\_\_\_

9. **Certification:**

I hereby certify that all information in this report and its attachments is true and complete.

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Date**

## STATE CDBG-CV PROGRAM REGULATIONS

### Citizen Participation

If funded, the grantee will have documentation on file of compliance with citizen participation requirements in the application process 4 NCAC 19L. 1002 (b): publisher’s affidavits of notices and minutes signed by the town or county clerk of the two required public hearings.

### Project Administration

The grantee is responsible for CDBG-CV oversight. If funded, the grantee will supervise the implementation of the project as follows:

- ✓ The local government manager reviews and signs off on all project reports.
- ✓ The project administrator or local government staff will present and give at least quarterly written status reports to the elected board. A signed copy of the quarterly report must be submitted to the grant representative for review.
- ✓ At least two persons from the local government listed on the signatory cards will review and sign off on invoices and requests for payment.
- ✓ Maintain all project files at the local government offices and make them available to citizens during regular business hours.

### Audits/Compliance

CDBG-CV grantees expending \$25,000 or more in a fiscal year are required to have funds audited for the CDBG-CV program. CDBG-CV funds can be used to pay for the CDBG-CV portion of the audit provided the grantee has expended \$500,000 or more in the fiscal year in total federal awards (CDBG-CV and other federal funds). If the grantee has expended less than \$500,000 in total federal awards, the grantee may budget local funds in the administrative line item in the CDBG-CV application to pay for the CDBG-CV portion of the audit and claim the local administrative funds as local commitment.

### Program Income

Local governments must develop and submit a plan for reuse of program income to REDD approval.

### Legally Binding Commitment (LBC)

The local government will develop and execute a LBC with the non-profit or for-profit developer/business subject to REDD requirements.

**The applicant hereby assures and certifies that by his/her signature, its duly authorized official has read and understands the State CDBG-CV Program Standards and, if funded, will adhere to all standards applicable to the funded project.**

Name of Chief Elected Official \_\_\_\_\_

Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

## DISCLOSURE OF CIVIL RIGHTS COMPLAINTS/LAWSUITS

The Town/City/County of \_\_\_\_\_ hereby assures and certifies that there are no open, unresolved or pending Civil Rights Lawsuits against the participating local governments in this NC CDBG Coronavirus Program (**NC CDBG-CV**).

**Name of Chief Elected Official** \_\_\_\_\_  
**Title** \_\_\_\_\_  
**Signature** \_\_\_\_\_  
**Date** \_\_\_\_\_

## Instructions for Debarment Certifications

1. By signing and submitting this form, the prospective participant is providing the certification set out on the “Certification Regarding Debarment, Suspension and Other Responsibility Matters” in accordance with these instructions.
2. Consequences of False Certification - The certification is a material representation of fact upon which reliance was placed when this transaction was entered. If it is later determined that the prospective participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. Errors in Certifying. - The prospective participant shall provide immediate written notice to the person to which this proposal is submitted if, at any time, the prospective participant learns that its certification was erroneous when submitted or has become erroneous because of changed circumstances.
4. Definitions and Further Guidance - The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause have the meanings set out in the Definitions and Coverage section of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations or you may refer to the *Federal Register*, Vol. 70, No. 168, pages 51863 –51880.
5. Certification Extends to Subcontractors - The prospective participant agrees by submitting this form that, should the proposed covered transaction be entered, it shall not knowingly enter any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. Certification Included in Subcontracts - The prospective participant further agrees by submitting this form that it will include this clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction,” without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. Reliance on Certification - A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transition, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-Procurement List.

8. New System of Records Not Required - Nothing contained in the foregoing should be construed to require establishment of a system of records to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
  
9. Consequences for Use of Ineligible Sub grantees - Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment

**CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

Applicants should refer to the regulations cited on page 67. Applicants should also review the instructions for certification included in the regulations before completing this form, signature on this form provides for compliance with certification requirements implementing Federal Executive Order 12549 and guidance issued in the *Federal Register*, Volume 70, No. 168, pages 51863 through 51880 for “Government wide Debarment and Suspension (Non-procurement).” The certification shall be treated as a material representation of fact upon which reliance will be placed when the Rural Economic Development Division determines to award the covered transaction, grant, or cooperative agreement. As required by Executive Order 12549, Debarment and Suspension, for prospective participants in primary covered transactions:

- 1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by a Federal department or agency;
  - b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
  
- 2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above applicable certification(s).**

<b>Name of Applicant/Grantee</b>	<b>Grant Number and Project Name</b>
<b>Printed Name and Title of Authorized Representative</b>	
<b>Signature</b>	<b>Date</b>

**SAMPLE: Implementation Schedule**

<b>ACTIVITIES IMPLEMENTATION SCHEDULE -SAMPLE</b>	<b>Name of Applicant:</b>
---	---------------------------

***Month 1 begins as of the date of REDD Director’s signature on the Grant Agreement and Funding Approval.***

List activities to be implemented and put a “X” in the columns for the beginning and ending months and connect with a straight line. Activities should correspond to those on the Budget.

Activities	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
1. Grant Agreement/ Funding Approval	X														
2. Environmental Review	X	X													
3. Clearing conditions	X	—	X												
4. Public Water				X	—	—	—	—	—	—	—	X			
5. Public Sewer				X	—	—	—	—	—	—	—	—	X		
6.															
7.															
8. Closeout of Grant															X

<b>ACTIVITIES IMPLEMENTATION SCHEDULE</b>	<b>Name of Applicant:</b>
---	---------------------------

***Month 1 begins as of the date of REDD Director's signature on the Grant Agreement and Funding Approval.***

List CDBG-CV and non-CDBG-CV activities to be implemented for both C-1 and L-1 and put an "X" in the columns for the beginning and ending months and connect with a straight line. CDBG-CV Activities should correspond to those on the Budget and other packet forms. Add other activities as needed in the order they occur in the planning and development of the distribution plan.

Activities	Months																												
	1	2	3	4	5	6	7	8	9	10	1	1	1	1	1	1	1	1	1	2	2	2	2	2	2	2	2	3	
											1	2	3	4	5	6	7	8	9	0	1	2	3	4	5	6	7	8	9
1. Grant Agreement/ Funding Approval																													
2. Environmental Review																													
3. Clearing conditions																													
4.																													
5.																													
6.																													
7.																													
8.																													
9.																													
10.																													
11.																													
12.																													
13.																													
14. Closeout of Grant																													

## NC GRANTS MANAGEMENT SYSTEM ACTIVITY NUMBERS AND CODES

Activity Name	Activity Number	Activity Code*
1. Administration	1060	13
2. Acquisition	1002	1
3. Architectural Barriers	1054	11
4. Clearance Activities	1034	2
5. Code Enforcement	1046	16
6. Disposition	1004	1
7. Fire Protection	1014	6
8. Flood and Drainage	1024	4C
9. Historic Preservation	1048	16
10. Machinery/Equipment	1052	16
11. Neighborhood Facilities	1010	3
12. Other Activities	1056	16
13. Other Public Facilities	1028	6
14. Parking Facilities	1016	6
15. Parks/Playgrounds	1008	6
16. Pedestrian Improvements	1026	6
17. Planning	1058	12
18. Public Services	1036	7
19. Public Utilities	1018	7
20. Rehabilitation, Commercial	1040	9B
21. Rehabilitation, Private	1042	9A
22. Rehabilitation, Public	1044	10
23. Relocation Assistance	1038	8
24. Senior/Handicapped Centers	1006	3
25. Sewer Improvements	1030	4B
26. Solid Waste Facilities	1012	4B
27. Street Improvements	1022	6
28. Water and Sewer	1020	4A, 4B
29. Water Improvements	1032	4A
30. Working Capital	1050	7
<b>Note:</b> Reconstruction activities, Clearance activities related to Rehabilitation and Temporary Relocation related to Rehabilitation would all be classified under Rehabilitation.		

\* Please note that these are not HUD IDIS codes.

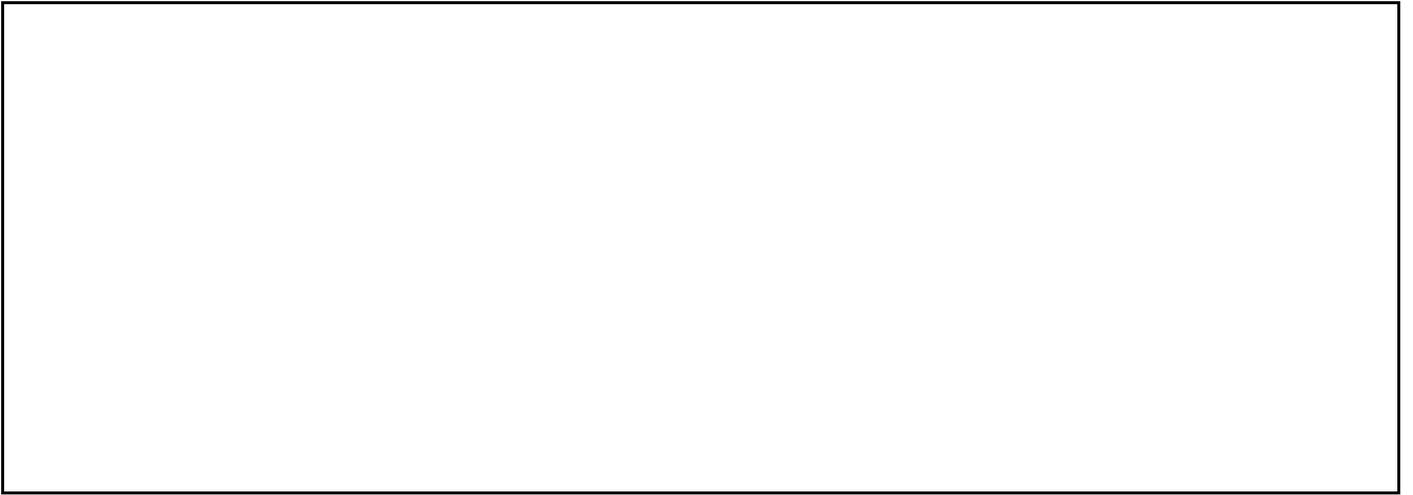
## ACTIVITY PERFORMANCE MEASURES

<b>Applicant:</b>		<b>Budgeted \$:</b>	
<b>Project Name:</b>		<b>Check (X) C-1:</b>	<b>Check (X) L-1:</b>
<b>Activity Name:</b>		<b>Activity Code:</b>	
<b>Amount of money leveraged for the activity, if applicable</b> ( <i>Funds other than CDBG-CV fund as part of activity.</i> )			\$
<b>Housing Program Indicators</b>		<b>Proposed</b> ( <i>For Entire Grant</i> )	
<b>Housing Activities</b>			
<b>Single Units -Rental</b>			
Total number of <b>rental</b> units acquired			
Total number of <b>rental</b> units cleared			
Total number of <b>rental</b> units disposed			
Total number of <b>rental</b> households relocated			
Total number of <b>rental</b> units rehabilitated			
Number of units brought from substandard to standard condition (NC Rehab Standards)			
Number of units brought into compliance with the lead safe housing rule (24 CFR part 35)			
Number of units occupied by elderly (62 years of age or above)			
<b>Single Units - Owner</b>			
Total number of <b>owner</b> units acquired			
Total number of <b>owner</b> units cleared			
Total number of <b>owner</b> units disposed			
Total number of <b>owner</b> households relocated			
Total number of <b>owner-occupied</b> units rehabilitated			
Number of units brought from substandard to standard condition (NC Rehab Standards)			
Number of units brought into compliance with the lead safe housing rule (24 CFR part 35)			
Number of units occupied by elderly (62 years of age or above)			
<b>Multi-Units Rental</b>			
Total number of <b>rental</b> units acquired			
Total number of <b>rental</b> units cleared			
Total number of <b>rental</b> units disposed			
Total number of <b>rental</b> households relocated			
Total number of <b>rental</b> units rehabilitated			
Number of units brought from substandard to standard condition (NC Rehab Standards)			
Number of units brought into compliance with the lead safe housing rule (24 CFR part 35)			

Number of units occupied by elderly (62 years of age or above)	
<b>Development of Single-Family Housing</b>	
Total number of <b>owner</b> units created	
Number of affordable units created	
<b>Development of Multi-Unit Rental Housing</b>	
Total number of <b>rental</b> units created	
Total number of <b>rental</b> units rehabilitated	
Number of affordable units created	
Number of units Section 504 accessible (includes adaptable units)	
Number of units brought into compliance with the lead safe housing rule (24 CFR part 35)	
Number of units created through conversion of nonresidential building to residential	
Number of units meeting IBC (International Building Code)	
of IBC, number of units meeting Energy Star	
Number of units occupied by elderly (62 years of age or above)	
Number of units subsidized with project-based rental assistance (fed., state, or local)	
Number of years' affordability guaranteed	
Number of units designated for persons with HIV/AIDS	
of these, number of units designated for the chronically homeless	
of these, number of units 504 accessible	
Number of units of permanent housing for homeless persons	
of these, number of units designated for the chronically homeless	
of these, number of units 504 accessible	
<b>Homeownership Indicators</b>	<b>Proposed</b> (For Entire Grant)
Number of units occupied by first-time homebuyers	
Total number of units assisted through home buyer financial assistance	
Number of first-time home buyers assisted financially	
Number of first-time home buyers receiving housing counseling	
Number of minority first-time home buyers receiving housing counseling	
Number served receiving down-payment assistance and/or assistance with closing costs	
Number of subsidized mortgages provided	

<b>Economic Development Program Indicators</b>		<b>Proposed</b> (For Entire Grant)
Number of facades/business building rehab		
Number of jobs to be created part-time		
Number of jobs to be created full-time		
Number of jobs to be retained part-time		
Number of jobs to be retained full-time		
Number of jobs created with employer sponsored health care		
Number of jobs retained with employer sponsored health care		
<b>Prior employment status</b> before taking job created ( <i>full-time employed, part-time employed or unemployed</i> )	Status:	
	Full or Part-time:	
<b>Jobs (By EDA Job Category Definitions)</b>		<b>Proposed</b> (For Entire Grant)
Official and Managers		
Professional		
Technicians		
Sales		
Office and Clerical		
Craft Workers (skilled)		
Operatives (semi-skilled)		
Laborers (unskilled)		
Service Workers		
		<b>Proposed</b> (For Entire Grant)
Number of unemployed persons getting jobs in <b>FTE's</b> (Full-Time Equivalent)		
Number of new businesses assisted		
Number of existing businesses assisted		
Number of business expansions		
Number of business relocations		
Business DUNS #		<i>If more than 2 DUNS Numbers, add in Comments Section.</i>
<b>Two Digit NAICS Classification Number</b> ( <a href="http://www.census.gov/eos/www/naics/index.html">http://www.census.gov/eos/www/naics/index.html</a> )		
<b>Non-Economic Development Public Facility Program Indicators</b>		<b>Proposed</b> (For Entire Grant)
Number of persons assisted		
Number of persons assisted with <b>new</b> access to a public facility		
Number of persons assisted with <b>improved</b> access to a public facility		
Number of persons assisted where public facility quality was improved		
<b>Non-Economic Development Public Infrastructure Program Indicators</b>		<b>Proposed</b> (For Entire Grant)

<b>Water</b>	
Number of persons assisted	
Number of persons assisted with <b>new</b> access to public water	
Number of persons assisted with <b>improved</b> access to public water	
Number of persons assisted where public water quality was improved	
<b>Sewer</b>	
Number of persons assisted	
Number of persons assisted with <b>new</b> access to public sewer	
Number of persons assisted with <b>improved</b> access to public sewer	
Number of persons assisted where public sewer quality was improved	
<b>Streets</b>	
Number of persons assisted	
Number of persons assisted with <b>new</b> access to public streets	
Number of persons assisted with <b>improved</b> access to public streets	
Number of persons assisted where public street quality was improved	
<b>Drainage</b>	
Number of persons assisted	
Number of persons assisted with <b>new</b> access to public drainage	
Number of persons assisted with <b>improved</b> access to public drainage	
Number of persons assisted where public drainage quality was improved	
<b>Sidewalks</b>	
Number of persons assisted	
Number of persons assisted with <b>new</b> access to public sidewalks	
Number of persons assisted with <b>improved</b> access to public sidewalks	
Number of persons assisted where public sidewalk quality was improved	
<b>Other Public Infrastructure</b>	List:
Number of persons assisted	
Number of persons assisted with <b>new</b> access to public sidewalks	
Number of persons assisted with <b>improved</b> access to public sidewalks	
Number of persons assisted where public sidewalk quality was improved	
<b>Public Service Program Indicators</b>	
Number of persons assisted	
Number of persons with <b>new</b> access to service	
Number of persons with <b>improved</b> access to service	
Number of persons where service quality was improved	
<b>Brownfield Projects</b>	
Number of square acres of brownfields remediated	
<b>Comments</b>	



## ADDITIONAL FORMS FOR SPECIAL ECONOMIC DEVELOPMENT PROJECTS

All special economic development projects must complete the following forms:

- Employee Profile *(Complete one per business included in the project.)*
- Legally Binding Commitment *(Complete one per business included in the project.)*
- Private Company Commitment Form *(Complete one per business included in the project.)*
- Limited Waiver of Confidentiality *(Complete one per business included in the project.)*
- Performance Indicators Form *(Complete for the entire project.)*



## JOB CATEGORY DEFINITIONS

1. **Officials and Managers** – Occupants requiring administrative personnel who set broad policies, exercise overall responsibility of execution of these policies and individual departments or special phases of a firm’s operations. This includes: Officials, Executives, middle management, plant managers and superintendents, salaried supervisors who are members of management, purchasing agents and buyers and kindred workers.
2. **Professional** – Occupants requiring either college graduation or experience of such kind and amount as to provide a comparable background includes: accountants and auditors, airplane pilots and navigators, architects, artists, chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, registered professional nurses, professional and labor relations workers, physical scientists, physicians, social scientists, teachers and kindred workers.
3. **Technicians** – Occupants requiring a combination of basic scientific knowledge and manual skill which can be obtained through about 2 years of post-high school education such as is offered in many technical institutions and junior colleges or through equivalent on the job training. This includes computer programmers and operators, drafters, engineering aides, junior engineers, mathematic aides, licensed practical or vocational nurses, photographers, radio operators, scientific assistants, surveyors, technical illustrators, technicians (medical, dental, electronic physical science) and kindred workers.
4. **Sales** – Occupants engaging wholly or primarily in direct selling. This includes advertising agenda and sales workers, insurance agents and brokers, real estate agents and brokers, sales workers, demonstrators and retail sales workers and salesclerks, grocery clerks and cashiers and kindred workers.
5. **Office and Clerical** – Includes all clerical-type work regardless of level of difficulty, where the activities are predominantly non-manual though some manual work not directly involved with altering or transporting the products is included. This includes bookkeepers, cashiers, collectors (bills and accounts), messengers and office helpers, office machine operators, shipping and receiving clerks, stenographers, typists and secretaries, telegraph and telephone operators and kindred workers.
6. **Craft Worker (skilled)** – Manual workers of relatively high-level having a thorough and comprehensive knowledge of the processes involved in their work. Exercise considerable independent judgment and usually receive an extensive period of training. This includes the building trades, hourly paid supervisors and lead operators (who are not members of management), mechanic and repairers, skilled machining occupations, compositors and typesetters, electricians, engravers, job setters (metal), motion picture projectionists, pattern and model makers, stationary engineers, tailors and kindred workers.
7. **Operatives (semi-skilled)** – Workers who operate machines or other equipment or perform other factory-type duties of intermediate skill level which can be mastered in a few weeks and require only limited training. This includes apprentices (auto mechanics, plumbers, electricians, machinists, mechanics, building trades, metal working trades, printing trades, etc.), operatives, attendants (auto service and parking) plasters, chauffeurs, delivery workers, dress makers and sewers (except factory), dryer’s furnaces workers, heaters (metal), laundry and dry cleaning, operatives, milliners, mine operatives and laborers, motor operators, pliers and greasers (except auto), painters (except construction and maintenance), photographic process workers, boiler tenders, truck and tractor drives, weavers (textile), welders and flame metals workers and kindred workers.
8. **Laborers (unskilled)** – Workers in manual occupations which generally require no special training perform elementary duties that may be learned in a few days and require the application of little or no independent

judgment. This includes garage laborers, car washers and greasers, gardeners (except farm) and groundskeepers, stevedores, wood choppers, laborers performing lifting, digging, mixing, loading and pulling operations and kindred workers.

9. **Service workers** – Workers in both protective and non-protective service occupations. This includes attendants (hospital and other institutions, professional and personal service, including nurses' aides and orderlies), barbers, chair workers and cleaners, cooks (except household), counter and fountain workers, elevator operators, firefighters and fire protection guards, door keepers, stewards, janitors, police officers and detectives, porters, waiters and waitresses and kindred workers.

Definitions are provided by the Economic Development Administration

## LEGALLY BINDING COMMITMENT- CREATING JOBS

STATE OF NORTH CAROLINA

\_\_\_\_\_  
\_\_\_\_\_  
(LOCAL GOVERNMENT APPLICANT)  
(COMPANY)

### JOB CREATION AGREEMENT

THIS AGREEMENT (the "Agreement") is entered into as of the \_\_\_\_ day of \_\_\_\_\_, by and between \_\_\_\_\_, a corporation authorized to transact business within the State of North Carolina (hereinafter referred to as the "Corporation") and \_\_\_\_\_, North Carolina (hereinafter referred to as the "Applicant"). This Agreement will not become effective until all conditions placed upon the Applicant's funding approval are satisfied and funds are released by the Department of Commerce (hereinafter "DOC") pursuant to a Community Development Block Grant (hereinafter "CDBG-CV") with the Applicant.

### WITNESSETH

WHEREAS, the Applicant anticipates receiving a CDBG-CV for Program Year \_\_\_\_\_ from the DOC in the amount of \$\_\_\_\_\_ for the project entitled \_\_\_\_\_, this grant will be used primarily to benefit low to moderate-income persons by financing activities under the Small Business and Entrepreneurial Assistance Grant project (the "Project") to be undertaken by the Applicant and the Corporation.

NOW, THEREFORE, in consideration of the promised and the mutual covenants and promises set forth herein, the Corporation and the Applicant hereby agree as follows:

#### I. AGREED ACTIONS

A. The Corporation shall execute its responsibilities as identified in the Corporation's narrative exhibits and the employment profiles contained in the Applicant's CDBG-CV application to DOC. Those exhibits and commitments are incorporated herein by reference, as if set out in full. The Corporation agrees to create the jobs and complete the Project hiring's in a timely manner. The Corporation currently has continuing operations in the County that employ \_\_\_\_\_ people and the Corporation commits to employ \_\_\_\_\_ additional people by \_\_\_\_\_ (date).

The Corporation can request DOC verify the creation of the additional jobs stated above prior to \_\_\_\_\_, (date) and release the Corporation from further job creation documentation. In addition, the Corporation commits to employ persons whose household income is within low to moderate-income limits in seventy percent (70%) of all jobs stated above at the Corporation's Facility. The Corporation agrees that if it fails to create and maintain \_\_\_\_\_ new jobs prior to \_\_\_\_\_ (date) or verified by DOC, it will reimburse the Applicant for \$\_\_\_\_\_ (total grant amount received by the Corporation, divided by the number of new jobs to be created), for each job not created.

The Corporation also agrees that if at the end of the grant agreement the number of prior low to moderate-income people employed at the Facility falls below fifty one percent (51%) of the total employment at the Facility, the entire grant amount will be due and payable to DOC by the Applicant. The Applicant's liability under this Agreement shall not exceed the dollar amount of the grant made by the Department of Commerce. If unforeseen calamity, an Act of God, or financial disaster is the cause of action under this section of the Agreement, the Corporation and the Applicant may appeal to DOC for an extraordinary modification of this responsibility. Such modification shall be at the discretion of the Secretary of the Department of Commerce. The requirement that persons of low to moderate income must hold a minimum of fifty-one percent (51%) of all jobs created cannot be waived.

B. Each party shall keep and maintain books, records, and other documents relating directly to the receipt and disbursement of grant funds and fulfillment of this Agreement.

C. Each party agrees that any duly authorized representative of the Applicant, DOC, the United States Department of Housing and Urban Development, and the Comptroller General of the United States shall, at all reasonable times, have access to and the right to inspect, copy, audit, and examine all of the books, records, and other documents relating to the grant and the fulfillment of the Agreement for a period of five (5) years following the completion of all close-out procedures respecting the CDBG-CV funds, and the final settlement and conclusion of all issues arising out of the CDBG-CV funds.

D. Notwithstanding anything herein to the contrary, the parties hereto acknowledge the due execution of the CDBG-CV Grant Agreement between the Applicant and DOC and agree that any conflict between the provisions, requirements, duties, or obligations of this Agreement and the CDBG-CV Grant Agreement shall be resolved in favor of the CDBG-CV Grant Agreement.

**II. ENFORCEMENT**

A. If at the end of the approved project period the Corporation has failed to create the full number of job positions and low to moderate-income job positions presented in Agreed Actions Section I of this Agreement, or to incur the full level of private investment committed to in its grant application, as provided above, then the Corporation will pay to the Applicant an amount calculated in the manner set out in Section I-A of this Agreement.

B. This Agreement constitutes a legally enforceable contract and shall be governed and construed in accordance with the laws of the State of North Carolina.

**III. PUBLIC RECORDS LAW**

The Corporation acknowledges that it has read and understands North Carolina’s laws regarding the treatment of public records and confidential information, and their application to small business and entrepreneurial assistance projects, including without limitation, those provisions set forth in Exhibit A.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed under Seal as of the date first above written.

\_\_\_\_\_ (Applicant)

\_\_\_\_\_ (Corporation)

\_\_\_\_\_ (SEAL)  
Chairman

\_\_\_\_\_ (SEAL)  
President

\_\_\_\_\_ (SEAL)  
Clerk

\_\_\_\_\_ (SEAL)  
Secretary

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

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

## Provisions of North Carolina General Statutes Addressing Public Records, Confidential Information and Economic Development Projects

### § 132-1. "Public records" defined.

(a) "Public record" or "public records" shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government.

(b) The public records and public information compiled by the agencies of North Carolina government or its subdivisions are the property of the people. Therefore, it is the policy of this State that the people may obtain copies of their public records and public information free or at minimal cost unless otherwise specifically provided by law. As used herein, "minimal cost" shall mean the actual cost of reproducing the public record or public information. (1935, c. 265, s. 1; 1975, c. 787, s. 1; 1995, c. 388, s. 1.)

#### § 132-1.1. State tax information

(b) **State and Local Tax Information.** – Tax information may not be disclosed except as provided in G.S. 105-259. As used in this subsection, "tax information" has the same meaning as in G.S. 105-259. Local tax records that contain information about a taxpayer's income or receipts may not be disclosed except as provided in G.S. 153A-148.1 and G.S. 160A-208.1.

#### § 132-1.2. Confidential information.

Nothing in this Chapter shall be construed to require or authorize a public agency or its subdivision to disclose any information that:

- (1) Meets all of the following conditions:
  - a. Constitutes a "trade secret" as defined in G.S. 66-152(3).
  - b. Is the property of a private "person" as defined in G.S. 66-152(2).
  - c. Is disclosed or furnished to the public agency in connection with the owner's performance of a public contract or in connection with a bid, application, proposal, industrial development project, or in compliance with laws, regulations, rules, or ordinances of the United States, the State, or political subdivisions of the State.
  - d. Is designated or indicated as "confidential" or as a "trade secret" at the time of its initial disclosure to the public agency.

#### § 66-152. Definitions. (Trade Secrets Protection Act)

As used in this Article, unless the context requires otherwise:

- (2) "Person" means an individual, corporation, government, governmental subdivision or agency, business trust, estate, trust, partnership, association, joint venture, or any other legal or commercial entity.
- (3) "Trade secret" means business or technical information, including but not limited to a formula, pattern, program, device, compilation of information, method, technique, or process that:
  - a. Derives independent actual or potential commercial value from not being generally known or readily ascertainable through independent development or reverse engineering by persons who can obtain economic value from its disclosure or use; and
  - b. Is the subject of efforts that are reasonable under the circumstances to maintain its secrecy.

The existence of a trade secret shall not be negated merely because the information comprising the trade secret has also been developed, used, or owned independently by more than one person, or licensed to other persons. (1981, c. 890, s. 1.)

#### § 132-1.11. Economic development incentives.

(a) **Assumptions and Methodologies.** – Subject to the provisions of this Chapter regarding confidential information and the withholding of public records relating to the proposed expansion or location of specific business or industrial projects when the release of those records would frustrate the purpose for which they were created, whenever a public agency or its subdivision performs a cost-benefit analysis or similar assessment with respect to economic development incentives offered to a specific business or industrial project, the agency or its subdivision must describe in detail the assumptions and methodologies used in completing the analysis or assessment. This description is a public record and is subject to all provisions of this Chapter and other law regarding public records.

(b) **Disclosure of Public Records Requirements.** – Whenever an agency or its subdivision first proposes, negotiates, or accepts an application for economic development incentives with respect to a specific industrial or business project, the agency or subdivision must disclose that any information obtained by the agency or subdivision is subject to laws regarding disclosure of public records. In addition, the agency or subdivision must fully and accurately describe the instances in which confidential information may be withheld from disclosure, the types of information that qualify as confidential information, and the methods for ensuring that confidential information is not disclosed. (2005-429, s. 1.2.)

#### § 132-6. Inspection and examination of records.

(a) Every custodian of public records shall permit any record in the custodian's custody to be inspected and examined at reasonable times and under reasonable supervision by any person, and shall, as promptly as possible, furnish copies thereof upon payment of any fees as may be prescribed by law. As used herein, "custodian" does not mean an agency that holds the public records of other agencies solely for purposes of storage or safekeeping or solely to provide data processing.

(b) No person requesting to inspect and examine public records, or to obtain copies thereof, shall be required to disclose the purpose or motive for the request.

(c) No request to inspect, examine, or obtain copies of public records shall be denied on the grounds that confidential information is commingled with the requested nonconfidential information. If it is necessary to separate confidential from nonconfidential information in order to permit the inspection, examination, or copying of the public records, the public agency shall bear the cost of such separation on the following schedule:

(d) Notwithstanding the provisions of subsections (a) and (b) of this section, public records relating to the proposed expansion or location of specific business or industrial projects may be withheld so long as their inspection, examination or copying would frustrate the purpose for which such public records were created; provided, however, that nothing herein shall be construed to permit the withholding of public records relating to general economic development policies or activities.

Once the State, a local government, or the specific business has announced a commitment by the business to expand or locate a specific project in this State or a final decision not to do so and the business has communicated that commitment or decision to the State or local government agency involved with the project, the provisions of this subsection allowing public records to be withheld by the agency no longer apply.

Once the provisions of this subsection no longer apply, the agency shall disclose as soon as practicable, and within 25 business days, public records requested for the announced project that are not otherwise made confidential by law.

An announcement that a business or industrial project has committed to expand or locate in the State shall not require disclosure of local government records relating to the project if the business has not selected a specific location within the State for the project. Once a specific location for the project has been determined, local government records must be disclosed, upon request, in accordance with the provisions of this section. For purposes of this section, "local government records" include records maintained by the State that relate to a local government's efforts to attract the project.

#### § 132-9. Access to records.

(b) In an action to compel disclosure of public records which have been withheld pursuant to the provisions of G.S. 132-6 concerning public records relating to the proposed expansion or location of particular businesses and industrial projects, the burden shall be on the custodian withholding the records to show that disclosure would frustrate the purpose of attracting that particular business or industrial project.

## PRIVATE COMPANY COMMITMENT FORM

I, \_\_\_\_\_, an official representative of \_\_\_\_\_ (“Company”), do hereby certify that, if the application for the above referenced funds are approved, the Company will fulfill the following commitments:

- ❖ No other facilities will be abandoned nor will any other persons be displaced as a result of this project.
- ❖ All positions created by this project will be newly created positions and the jobs will not be “pirated” from another facility owned or operated by the Company.
- ❖ The Company will undertake and carry out the project in accordance with this application for **CDBG-CV** assistance. The information pertaining to the Company is accurate.
- ❖ The Company will retain \_\_\_\_\_ jobs and will create an additional \_\_\_\_\_ new jobs within the two-year project period. Of the \_\_\_\_\_ jobs created, at least 70% will be filled by low and moderate-income persons.
- ❖ The Company agrees to either screen all applications and hires for the required employee statistical information and the required documentation or to allow the Division of Employment Security to perform these functions on their behalf.
- ❖ The Company will either provide the Grantee with a quarterly status report (including the NCUI-101 report form) with sufficient detail for the Grantee to determine the number of hires and the low and moderate income status of each or will allow the Grantee or its representative to complete an on-site review of hiring information to develop a quarterly record of hiring status. This obligation will end at project close out unless the Community Investment reviews available information and grants the company permission to stop collecting the required data at an earlier date.

---

Company Representative

---

Date

**LIMITED WAIVER OF CONFIDENTIALITY**

**UNEMPLOYMENT, TAX AND WAGE RECORDS**

Name of Taxpayer: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Federal Tax Identification Number: \_\_\_\_\_

NC Unemployment Insurance Account Number: \_\_\_\_\_

I hereby waive the right to confidentiality, as found in N.C.G.S. 96-4(t), for the limited purpose of authorizing disclosure of certain information contained in the above company's quarterly unemployment insurance tax records filed with the Division of Employment Security (the "DES") to the North Carolina Department of Commerce and program administrators (collectively, the "Department") for the limited purpose of administering a Job Development Investment Grant, a One North Carolina Grant, an Industrial Revenue Bond, the Site Infrastructure Development Fund, a Community Development Block Grant, or other program administered by the Department from which the above-referenced company has sought assistance.

DES is hereby authorized to disclose information contained in the above company's quarterly unemployment insurance tax records to the Department for this purpose.

Unemployment insurance tax information provided in the aggregate to DES and disclosed to the Department, and the company's aggregated tax and wage information provided to or otherwise in the possession of the Department, may be treated as public information. This waiver is not intended to release the Department from any obligation it may have under North Carolina law to maintain the confidentiality of any and all information which could reveal or permit someone to ascertain the identity of any individual employee or that employee's line item unemployment insurance tax or other tax or wage information.

\_\_\_\_\_  
Chief Financial Officer or Other Authorized Company Official

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

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

*DOC Form, rev. 8.12*

**PERFORMANCE MEASURES INDICATORS FORMS**

<b>Applicant:</b>			
<b>Project Name:</b>			
<b>Activity Name:</b>		<b>Budgeted \$:</b>	
<b>Activity Number:</b>		<b>Activity Code:</b>	
<i>Amount of money leveraged for the activity, if applicable (Funds other than CDBG-CV fund as part of activity.)</i>		\$	
<b>ECONOMIC DEVELOPMENT PROGRAM INDICATORS</b>		<b>Proposed (For Entire Grant)</b>	
Number of facades/business building rehab			
Number of jobs to be created part-time			
Number of jobs to be created full-time			
Number of jobs to be retained part-time			
Number of jobs to be retained full-time			
Number of jobs created with employer sponsored health care			
Number of jobs retained with employer sponsored health care			
Prior employment status before taking job created (full-time employed, part-time employed or unemployed)		Status:	
		Full or Part-time:	
<b>JOBS (BY EDA JOB CATEGORY DEFINITIONS)</b>		<b>Proposed (For Entire Grant)</b>	
Official and Managers			
Professional			
Technicians			
Sales			
Office and Clerical			
Craft Workers (skilled)			
Operatives (semi-skilled)			
Laborers (unskilled)			
Service Workers			
Number of unemployed persons getting jobs in <b>FTE's</b> (Full-Time Equivalent)			
Number of new businesses assisted			
Number of existing businesses assisted			
Number of business expansions			
Number of business relocations			
Business DUNS #			
<i>If more than 2 DUNS Numbers, add in Comments Section.</i>			
<b>Two Digit NAICS Classification Number</b> ( <a href="http://www.census.gov/eos/www/naics/index.html">http://www.census.gov/eos/www/naics/index.html</a> )			
<b>BROWNFIELD PROJECTS</b>		<b>Proposed (For Entire Grant)</b>	
Number of square acres of Brownfields remediated			
<b>Comments</b>			

**AGENDA ITEM 5:**

**PROPOSED RESOLUTION FOR WATAUGA COUNTY APPLICATION FOR COMMUNITY DEVELOPMENT BLOCK GRANT FUNDING FOR THE WATAUGA COVID RELIEF PROJECT**

**MANAGER'S COMMENTS:**

The County has completed the two required public hearings and will need to approve the enclosed resolution stating the Commissioners desire to pursue a formal application and authorize staff to submit the formal application.

Board action is required.

COUNTY OF WATAUGA

STATE OF NORTH CAROLINA

**DRAFT**

**RESOLUTION FOR WATAUGA COUNTY APPLICATION FOR  
COMMUNITY DEVELOPMENT BLOCK GRANT FUNDING FOR THE  
WATAUGA COVID RELIEF PROJECT**

**WHEREAS**, Watauga County’s Board of Commissioners has previously indicated its desire to assist in community development efforts for COVID relief within the County; and,

**WHEREAS**, the Commissioners have held two public hearings concerning the proposed application for Community Development Block Grant funding to assist the County prepare, prevent, and/or respond to health and economic impacts of COVID-19 benefiting low and moderate-income residents; and,

**WHEREAS**, the Commissioners wish the County to pursue a formal application for Community Development Block Grant funding to assist the County prepare, prevent, and/or respond to health and economic impacts of COVID-19 benefiting low and moderate-income residents; and,

**WHEREAS**, the Commissioners certify the County will meet all federal regulatory and statutory requirements of the State of North Carolina Community Development Block Grant Program.

**NOW, THEREFORE BE IT RESOLVED**, by the Watauga County Board of Commissioners that Watauga County staff is authorized to submit a formal application to the North Carolina Department of Commerce for approval of a Community Development Block Grant to assist the County prepare, prevent, and/or respond to health and economic impacts of COVID-19 benefiting low and moderate-income residents.

**ADOPTED** this the 20<sup>th</sup> day of October, 2020 in Watauga County, North Carolina.

\_\_\_\_\_  
John Welch, Chairman  
Watauga County Board of Commissioners

ATTEST:

\_\_\_\_\_  
Anita J. Fogle, Clerk to the Board

**AGENDA ITEM 6:**

**CORONAVIRUS (COVID-19) COMMUNITY UPDATE**

**MANAGER'S COMMENTS:**

Ms. Jennifer Greene, AppHealthCare Director, will provide an update on the Coronavirus (COVID-19).

The report is for information only; therefore no action is required.

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**AGENDA ITEM 7:**

**PROJECT ON AGING ANNUAL REPORT**

**MANAGER'S COMMENTS:**

Ms. Angie Boitnotte, Project on Aging Director, will submit the Fiscal Year 2020 annual comprehensive evaluation of the agency's operations and policies as required by the NC Division of Health Service Regulation.

Board action is requested to accept the annual report.



# Watauga County Project on Aging

132 Poplar Grove Connector, Suite A • Boone, North Carolina 28607

Website: [www.wataugacounty.org/aging](http://www.wataugacounty.org/aging) [angie.boitnotte@watgov.org](mailto:angie.boitnotte@watgov.org)

Telephone 828-265-8090 Fax 828-264-2060 TTY 1-800-735-2962 Voice 1-800-735-8262 or 711

## MEMORANDUM

**TO:** Deron Geouque, County Manager

**FROM:** Angie Boitnotte, Director

**DATE:** October 13, 2020

**SUBJ:** Request for Board of Commissioners' Consideration: Project on Aging Annual Report

The NC Division of Health Service Regulation requires the Project on Aging to conduct an annual comprehensive evaluation of agency operations and policies which must be presented to the Board of County Commissioners. The attached annual report addresses statistical information as to clients, services, and revenues as required by licensure standards.

I plan to be present for discussion and questions.

**PROGRAM EVALUATION  
NCDHSR LICENSURE REQUIREMENTS**

As required by the NC Division of Health Service Regulation, the Project on Aging Director must conduct an annual comprehensive evaluation of agency operations and policies. The evaluation shall assure the appropriateness and quality of the agency's services with findings used to verify policy implementation, to identify problems, and to establish problem resolution and policy revision as necessary.

An overall policy and administration review was conducted on the following areas: scope of services offered, arrangements for services with other agencies or individuals, admission and discharge policies, supervision and plan of care, emergency care, service records, personnel qualifications, and program evaluation. Policy revisions completed during FY20 were presented to the Board of County Commissioners at their March 17, 2020 meeting, following a review conducted by the Division of Health Service Regulation.

The attached annual report addresses information regarding: budget and funding sources; number of clients receiving each service; number of units (meals, trips, hours) provided for each service; client outcomes; adequacy of staff to meet client needs; numbers and reasons for non-acceptance of clients; and reasons for discharge.

**WATAUGA COUNTY PROJECT ON AGING  
FY 20 ANNUAL REPORT  
JULY 1, 2019 – JUNE 30, 2020**

**FY 20 Budget**

Budgeted Amount	\$ 1,496,914
Expenditures	<u>1,278,447 (85% )</u>
Balance (under)	\$ 218,467 (15%)

**FY 20 Revenue**

Medicaid	\$ 106,050	}	\$531,589
DSS Contract	11,497		
Donations/Fees	26,159		
HCCBG, State funds, NSIP	322,460		
Family First (Covid 19)	32,854		
E & D Transportation	11,970		
State Senior Center Allocation	14,096		
SHIP Grant	6,503		
Watauga County <sup>1</sup>	\$ 746,858		
<b>Total Revenue</b>	<b>\$1,278,447</b>		

1 \$38,112 minimum match was required for federal and state grants.

**CAP/DA MEDICAID**

The Community Alternatives Program for Disabled Adults (CAP/DA and CAP/CHOICE) provided services to 30 Medicaid clients who were certified as medically eligible to enter a nursing home but who preferred to stay at home. Medicaid funds received are based on billable services to CAP/DA and CAP/CHOICE clients and are as follows:

	<u>NUMBER SERVED</u>	<u>AMOUNT BILLED</u>
Home Delivered Meals	525 meals	\$ 2,186.31
Case Management	30 clients	99,915.59
Waiver Supplies	7 clients	<u>3,947.92</u>
<b>Total</b>		<b>\$ 106,049.82</b>
		(\$105,846.16 or 99.8% collected)

**D.S.S. CONTRACT**

The Project on Aging contracts with the Watauga County Department of Social Services to provide In-Home Aide services to disabled adults between the ages of 18 and 60, who have physical and/or mental disabilities.

583 Hours	\$11,497.00
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**HOME AND COMMUNITY CARE BLOCK GRANT**

The Home and Community Care Block Grant consists of Federal Older Americans Act funds, required State match, and additional State legislative allocations. The United States Department of Agriculture reimburses .60 per meal through a program called Nutritional Services Incentive Program (NSIP) for each eligible meal served.

In-Home Aide Level I	\$94,044
In-Home Aide Level II	64,482
Home Delivered Meals	76,180
Congregate Meals	53,990
NSIP	21,039
Transportation	<u>12,725</u>
<b>Total</b>	<b>\$322,460</b>

**FAMILY'S FIRST CORONAVIRUS RESPONSE ACT (FFCRA)**

Family's First Coronavirus Response Act funds were allocated to the Project on Aging specifically for Home Delivered Meals and Congregate Nutrition. The funds allocated to Congregate Nutrition were used to help fund the meals that were delivered to Congregate participants.

Home Delivered Meals	\$25,346
Congregate Meals	<u>7,508</u>
<b>Total</b>	<b>\$32,854</b>

**SERVICES SUMMARY**

<b>DESCRIPTION</b>	<b>UNITS SERVED</b>	<b># of CLIENTS</b>
Congregate Meals	11,266	480
FFCRA Congregate Drive-thru and Delivered Meals	863	61
Home Delivered Meals	17,382	134
FFCRA Home Delivered Meals	2,566	83
CAP Home Delivered Meals	525	2
Transportation	2,757	75
In-Home Aide Level I	4,698	126
In-Home Aide Level II	3,158	53
Respite Level I & II	513	10
DSS In-Home Aide	583	14

(Funding sources – County, HCCBG, Medicaid, FFCRA, DSS Contract, E&D)

**UNITS PROVIDED BY FUNDING SOURCE**

<b>SERVICE</b>	<b>HCCBG</b>	<b>Family First</b>	<b>COST SHARE</b>	<b>COUNTY</b>	<b>TOTAL</b>
Congregate Meals	7,647	848	512	3,122	12,129
Home Delivered Meals*	8,710	2,437	1,584	7,217	19,948
IHA Level I	3,901	0	131	666	4,698
IHA Level II	2,687	0	19	452	3,158
Respite I & II	0	0	5	508	513
DSS IHA**	0	0	0	60	60
Transportation***	1,432	0	34	75	1,541
<b>TOTALS</b>	<b>24,377</b>	<b>3,285</b>	<b>2,285</b>	<b>12,100</b>	<b>42,047</b>
	<b>58%</b>	<b>8%</b>	<b>5%</b>	<b>29%</b>	

\*HDM – 525 CAP Meals; \*\*DSS IHA – 523 DSS Units; \*\*\*Transportation – 1,216 E & D Trips

**CLIENT DEMOGRAPHICS**

During FY 20 more females than males were served through the in-home services programs (In-Home Aide, Home Delivered Meals and CAP); 69% of the clients were female, and 31% of the clients were male. Forty-four percent (44%) of the clients were classified as economically needy, while 100% were classified as at-risk or high-risk for being placed in a facility or not being able to remain in their own home. The majority of the clients served were over the age of 75 (62%) while 92% were over the age of 60.

**CLIENT OUTCOMES**

114 clients receiving in-home services were discontinued in FY 20 for the following reasons:

- 27 Death
- 26 Services not needed (improved, client request)
- 17 Placed in a LTC Facility
  - 9 Moved out of County
  - 9 Hired Caregiver / Private Home Care / Hospice Care
- 8 Illness, Not Expected to Return
- 6 Off Over 30+ Days
- 6 Alternate Living Arrangements
- 4 Adult Care Home / Assisted Living
- 2 CAP Services

**NON-ACCEPTANCE of CLIENTS**

47 clients were referred for services in FY 20 who were not placed on service roles:

**CAP – 10**

- 3 Medicaid issues (eligibility, deductable, sanction, estate recovery)
- 2 Declined services
- 2 Deceased
- 1 Never received medical records from physician
- 1 Placed in nursing facility / chose to stay in nursing facility
- 1 No response from client

**In-Home Aide – 37**

- 11 Declined services
- 10 Needs met through other services/support
  - 4 Not eligible
  - 4 Hospice
  - 4 Deceased
  - 4 No response from client

**STAFF SUMMARY**

The following staff worked in providing In-Home Services during FY 20:

- 8 In-Home Aides
- 1 In-Home Aide Supervisor
- 1 Home Delivered Meals Coordinator
- 2 Part-Time CAP Case Managers (20 hrs/week each)
- 1 Part-Time RN (CAP and IHA) (20 hrs/week)

## SENIOR CENTER REPORT

The mission of the Lois E. Harrill Senior Center and the Western Watauga Community Center is to create an environment that encourages independence in older adults and promotes their active participation in all aspects of their lives.

The Senior Centers continue to grow with many activities being requested especially in the areas of wellness/fitness and computers. The Senior Centers provided a variety of classes to include exercise/moving classes, sewing, needlework, jewelry making, wood carving, pottery, art, and craft classes. The SHIIP Coordinator and volunteers continued to assist with enrolling new Medicare clients into prescription drug plans and have also helped many apply for extra help, thus lowering the cost of their monthly premiums. During FY20, the SHIIP volunteers and staff assisted 665 Medicare recipients with Medicare questions, prescription drug plans and supplements.

Due to COVID-19 and the especially vulnerable population that we serve, our Senior Centers have been closed to participants since March 16, 2020. Our Directors at both centers continue to contact participants to see how they are doing and to offer any assistance with information or other services. We continued to provide SHIIP (Medicare) counseling to the extent possible, over the phone.

### LOIS E. HARRILL SENIOR CENTER

Congregate Participants	227
AARP Tax Assistance	92
Senior's Farmers Market Vouchers	85
ASU Interns, Volunteers, etc.	40
Center Classes, Activities, and Services	800
Newsletter	600
Incontinence Products Program	55

### WESTERN WATAUGA COMMUNITY CENTER

Congregate Participants	177
AARP Tax Assistance	63
ASU Interns, Volunteers, etc.	51
Center Classes, Activities, and Services	245
Community Center	1,650

## **IMPACT OF COVID-19 ON SERVICES DURING FY20**

COVID-19 impacted all of our services during FY20, with some services impacted more heavily than others, specifically, Transportation, Congregate Nutrition, and In-Home Aide Services.

### Transportation

AppalCART continued to provide transportation services to our clients who wanted to ride the vans for shopping or other essential errands, however, we only had around 6 clients who were riding the vans. During the last four months of the fiscal year (March – June) the number of trips provided were down by 40% when compared to the first 8 months of the fiscal year.

### Congregate Nutrition

Our Congregate Nutrition program was one of our most impacted services. We stopped providing Congregate Nutrition on March 16<sup>th</sup> and have still not resumed traditional congregate services. Starting in March, we added a few congregate participants to our home delivered meals routes, and in May we started a “drive-thru” congregate service at both Senior Centers. We also offered to have our aides shop for some Congregate Participants who wanted to avoid getting out, and had some food boxes that we were able to give out to individuals who were in need of the additional food. Our Center Directors continued to contact congregate participants to provide well-checks and to offer information or assistance through other services. During the last four months of the fiscal year (March – June), our number of meals provided was down by around 35%.

### In-Home Aide Services

In-Home Aide Services were also impacted by COVID-19. Beginning March 16, 2020, we stopped sending aides into clients’ homes to do home management or personal care services. Our aides continued to shop for groceries and run other essential errands for our clients, as well as other seniors in the community, who had asked for our assistance in order for them to avoid getting out. We resumed providing traditional In-Home Aide services on Monday, June 8<sup>th</sup>. During the last four months of the fiscal year (March – June) the number of In-Home Aide hours provided were down by over 30%.

## NARRATIVE SUMMARY

The Project on Aging's revenues were more than projected during FY 20 while expenditures were less than projected. We also maintained a Medicaid revenue collection rate of 99.8%.

During FY 20, the Home Delivered Meals program averaged 91 clients at any given time with an average of less than one on the waiting list. The In-Home Aide program averaged 142 clients with 17 on the waiting list, and more than 9 on the current client waiting list. The CAP program maintained an average caseload of 27 clients with no waiting list. The Congregate Nutrition Program averaged 167 clients and the Transportation program averaged 15 clients. Neither program maintained a waiting list during FY20. We also provided assistance to 66 older or disabled adults through our medical loan closet.

Nutrition services decreased in both Home Delivered Meals and Congregate Nutrition; 20,473 (-79) Home Delivered Meals were delivered to 136 (-12) frail adults, while 12,129 (-3,441) Congregate meals were served to 480 (+12) clients. We did not serve meals four days during FY 20 due to inclement weather. Emergency meals were provided to Home Delivered Meals clients to cover those days.

Services were delivered below the prior year's level for In-Home Aide Services; 8,952 (-3,594) hours of In-Home Aide Services were delivered to 203 (-18) frail adults. Due to staff turnover, we were down at least one In-Home Aide during the majority of the fiscal year.

Transportation services were also delivered below the prior year's level with 2,757 trips (-938) provided to 75 clients (+2).

The Project on Aging continues to serve as the focal point for Aging Services in Watauga County. The agency encourages independence and promotes wellness by providing supportive services to the County's older adults thereby helping to prevent premature institutionalization. The Project on Aging will continue to focus on providing services to the frailest, oldest, and poorest residents. Currently, by census projection, there are 11,000+ residents in Watauga County over the age of 60. As the at-home population becomes older and frailer with more acute needs for services, the demand for services will continue to increase. The Project on Aging continues to maximize its efforts in service delivery and utilized more than 300 volunteers in the delivery of services during FY20.

**AGENDA ITEM 8:**

**TAX MATTERS**

***A. Monthly Collections Report***

**MANAGER'S COMMENTS:**

Mr. Larry Warren, Tax Administrator, will present the Monthly Collections Report and be available for questions and discussion.

The report is for information only; therefore, no action is required.

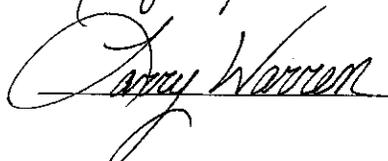
**Monthly Collections Report****Watauga County**

Bank deposits of the following amounts have been made and credited to the account of Watauga County. The reported totals do not include small shortages and overages reported to the Watauga County Finance Officer

Monthly Report September 2020

	<u>Current Month</u> <u>Collections</u>	<u>Current Month</u> <u>Percentage</u>	<u>Current FY</u> <u>Collections</u>	<u>Current FY</u> <u>Percentage</u>	<u>Previous FY</u> <u>Percentage</u>
<b><u>General County</u></b>					
Taxes 2020	3,764,354.80	12.11%	9,059,009.88	24.90%	19.81%
Prior Year Taxes	21,224.83		138,411.04		
Solid Waste User Fees	251,529.25	11.00%	605,412.82	22.65%	17.27%
Green Box Fees	102.50	NA	243.28	NA	NA
<b>Total County Funds</b>	<b>\$4,037,211.38</b>		<b>\$9,803,077.02</b>		
<b><u>Fire Districts</u></b>					
Foscoe Fire	61,959.86	15.86%	148,088.41	31.01%	23.42%
Boone Fire	75,652.89	9.59%	195,035.70	21.55%	18.18%
Fall Creek Service Dist.	983.35	11.57%	2,423.71	24.08%	20.00%
Beaver Dam Fire	12,144.16	13.19%	27,120.80	24.09%	19.00%
Stewart Simmons Fire	24,695.57	11.34%	60,004.04	23.61%	19.64%
Zionville Fire	8,135.53	8.67%	23,043.06	19.98%	18.68%
Cove Creek Fire	25,642.37	12.40%	60,325.75	24.41%	19.69%
Shawneehaw Fire	12,125.49	14.43%	27,588.73	27.61%	21.59%
Meat Camp Fire	21,048.74	11.48%	48,321.09	22.27%	17.28%
Deep Gap Fire	17,596.16	10.50%	39,277.18	20.64%	18.57%
Todd Fire	5,870.74	11.89%	18,316.96	29.50%	20.20%
Blowing Rock Fire	68,573.04	16.82%	156,083.42	31.40%	24.44%
M.C. Creston Fire	583.56	10.70%	1,297.06	20.10%	11.37%
Foscoe Service District	7,971.07	12.14%	17,284.53	22.95%	18.79%
Beech Mtn. Service Dist.	37.99	2.31%	56.99	3.42%	20.61%
Cove Creek Service Dist.	0.00	0.00%	0.00	0.00%	3.76%
Shawneehaw Service Dist	714.51	11.40%	1,090.97	16.15%	16.10%
	<b>\$342,751.68</b>		<b>\$822,934.69</b>		
<b><u>Towns</u></b>					
Boone	512,297.30	9.84%	1,324,737.81	21.93%	15.60%
Municipal Services	15,689.68	13.97%	38,952.12	28.53%	14.25%
Boone MV Fee	NA	NA	NA	NA	NA
Blowing Rock	NA	NA	NA	NA	NA
Seven Devils	NA	NA	NA	NA	NA
Beech Mountain	NA	NA	NA	NA	NA
<b>Total Town Taxes</b>	<b>\$527,986.98</b>		<b>\$1,363,689.93</b>		
<b>Total Amount Collected</b>	<b>\$4,907,950.04</b>		<b>\$11,989,701.64</b>		

 Tax Collections Director

 Tax Administrator

**AGENDA ITEM 8:**

**TAX MATTERS**

***B. Refunds and Releases***

**MANAGER'S COMMENTS:**

Mr. Warren will present the Refunds and Releases Reports. Board action is required to accept the Refunds and Releases Reports.

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RELEASES - 09/01/2020 TO 09/30/2020

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OWNER NAME AND ADDRESS	CAT YEAR PROPERTY REASON	BILL	EFF DATE	JUR	REF NO	VALUE CHARGE	AMOUNT
1736200 ABERNETHY, BARRY DEAN 116 MOOSE LN BLOWING ROCK, NC 28605	RE 2020	44035	09/30/2020			0 F12	1.10
						G01	8.87
	TAX RELEASES				7519		
	PARCEL SHOULD HAVE BEEN DEACTIVATED						9.97
1736200 ABERNETHY, BARRY DEAN 116 MOOSE LN BLOWING ROCK, NC 28605	RE 2020	44036	09/30/2020			0 F12	178.90
						G01	1,441.93
	TAX RELEASES				7518	SWF	80.00
	PARCEL SHOULD HAVE BEEN DEACTIVATED						1,700.83
1536139 BIGLER, ROBERT W BIGLER, DEBRA E 8448 NW 2ND ST POMPANO BEACH, FL 33071-7402	PP 2020	1147	09/30/2020			0 G01	37.04
						G01L	3.70
	TAX RELEASES				7554		
	SOLD ALL PROPERTY 2019						40.74
1549969 BONBERN, INC C/O FRED PFOHL 501 BEECH MTN. PKWY. BANNER ELK, NC 28604	RE 2020	48804	09/17/2020			0 FS3	26.60
						G01	214.40
	TAX RELEASES				7537		
	PARCEL SPLIT; SHOULD HAVE BEEN DEACTIVATED						241.00
1751271 BOONE ORTHOPEDIC ASSOC 194 DOCTORS DRIVE BOONE, NC 28607	PP 2020	138	09/30/2020			0 C02	423.57
						G01	416.34
	TAX RELEASES				7552	C02L	42.36
	THE HOSPITAL OWN EQUIPMENT					G01L	41.63
							923.90
1810409 CALDWELL, JON DANIEL STACKS, KARA C 390 INDIGO RD VILAS, NC 28692	RE 2020	44563	09/30/2020			100,680 F12	50.34
						G01	405.74
	TAX RELEASES				7507		
	HOUSE WAS RAZED						456.08
1640262 CAROL QUINTERO REVOCABLE LIVING TRUST 236 BROOKS ST VILAS, NC 28692	RE 2020	32689	09/30/2020			0 F07	22.95
						G01	184.98
	TAX RELEASES				7540		
	PARCEL SHOULD HAVE BEEN DEACTIVATED						207.93
1640262 CAROL QUINTERO REVOCABLE LIVING TRUST 236 BROOKS ST VILAS, NC 28692	RE 2020	32692	09/30/2020			0 F07	114.30
						G01	921.26
	TAX RELEASES				7539	SWF	80.00
	PARCEL SHOULD HAVE BEEN DEACTIVATED						1,115.56

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OWNER NAME AND ADDRESS	CAT YEAR PROPERTY REASON	BILL	EFF DATE	JUR	REF NO	VALUE	CHARGE	AMOUNT
1640262 CAROL QUINTERO REVOCABLE LIVING TRUST 236 BROOKS ST VILAS, NC 28692	RE 2020	32693	09/30/2020			0	F07	23.60
				F07			G01	190.22
	TAX RELEASES				7541			
								213.82
1775043 CARTER, LAURA E 736 LOVE HOLLOW RD VILAS, NC 28692	RE 2020	32703	09/30/2020			25,500	F07	12.75
				F07			G01	102.77
	TAX RELEASES				7514		SWF	80.00
								195.52
1032309 COLE, FRANKLIN 178 COLE DR VILAS, NC 28692	PP 2020	2468	09/30/2020			0	G01	2.02
				F07			G01L	.20
	TAX RELEASES				7535			
								2.22
1724336 COLEMAN, BETTY JO PO BOX 661 VALLE CRUCIS, NC 28691-0661	RE 2020	13771	09/30/2020			22,800	F01	11.40
				F01			G01	91.88
	TAX RELEASES				7520		SWF	80.00
								183.28
1562657 COOK, TIMOTHY E COOK, PAMELA G P O BOX 360 VILAS, NC 28692	RE 2020	32872	09/30/2020			1,600	F07	.80
				F07			G01	6.45
	TAX RELEASES				7551			
								7.25
1381672 DEEM, CURTIS AND MARILYN PO BOX 23910 FORT LAUDERDALE, FL 33307	RE 2020	45044	09/30/2020			0	F12	590.85
				F12			G01	4,762.25
	TAX RELEASES				7502		SWF	160.00
								5,513.10
1044098 DOLLAR, DAVID B AND JEAN 1643 MEAT CAMP RD BOONE, NC 28607-7260	RE 2020	37768	09/30/2020			0	F09	97.65
				F09			G01	787.06
	TAX RELEASES				7522		SWF	160.00
								1,044.71
1044098 DOLLAR, DAVID B AND JEAN 1643 MEAT CAMP RD BOONE, NC 28607-7260	PP 2020	2865	09/30/2020			0	F09	1.46
				F09			G01	11.73
	TAX RELEASES				7530		SWF	80.00
							F09L	.15
							G01L	1.17
								94.51

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OWNER NAME AND ADDRESS	CAT YEAR PROPERTY REASON	BILL	EFF DATE	JUR	REF NO	VALUE	CHARGE	AMOUNT
1768856 ELIZABETH CONLEY STEGALL LIVING TRUST STEGALL, ELIZABETH CONLEY /TR 318 GEORGE MORETZ LN BOONE, NC 28607	RE 2020 2923-40-0699-000 TAX RELEASES PARCEL SHOULD HAVE BEEN DEACTIVATED	39993	09/30/2020	F09	7503	0	F09 G01 SWF	106.85 861.21 80.00 <hr/> 1,048.06
1062264 GREENE, HILL VICTOR 1897 AHO RD BOONE, NC 28607-8402	RE 2020 2828-45-2543-000 REFUND RELEASE senior exemption didnt carry over on to bill	45509	09/30/2020	F12	7508	70,950	F12 G01	35.48 285.93 <hr/> 321.41
1730927 HEMRIC, BLISS PO BOX 1462 BOONE, NC 28607	RE 2020 2829-38-4508-043 TAX RELEASES RELEASED TO BRING GARAGES IN COMPLEX TO THE SAME VALUES	1733	09/30/2020	C02	7545	1,000	C02 G01	4.10 4.03 <hr/> 8.13
1813492 HENSON, RICHARD LYNN HENSON, DEBORAH O 3769 OLD US HIGHWAY 421 VILAS, NC 28692	RE 2020 1983-35-3374-000 TAX RELEASES INCORRECT NUMBER OF ACRES	32137	09/30/2020	F06	7544	17,500	F06 G01	8.75 70.53 <hr/> 79.28
1736221 JONES, MARY LEE 151 DEER VALLEY DR UNIT 123 BOONE, NC 28607-9781	RE 2016 2829-38-4508-046 REFUND RELEASE GARAGE VALUE ADJUSTED TO MATCH THE OTHER GARAGE VALUES IN THE COMPLEX	29828	09/30/2020	C02	7513	5,000	C02 G01	20.50 15.65 <hr/> 36.15
1810259 LIBERTY HEALTHCARE PROPERTIES OF WATAUGA 2334 S 41ST ST WILMINGTON, NC 28403	RE 2020 2818-53-2072-000 TAX RELEASES DISCOVERY BILL CREATED IN ERROR	1000046	09/30/2020	C03	7548	0	G01	67,728.58
1581320 MARION, KATHY L CRITCHER, PHILIP S 3113 BUTLER RD COLUMBIA, TN 38401	PP 2020 3434 TAX RELEASES mh listed under calvin critcher-1583120	1750	09/30/2020	F02	7524	0	F02 G01 SWF F02L G01L	4.80 32.24 80.00 .48 3.22 <hr/> 120.74
1767054 MARY LEE JONES REVOCABLE TRUST JONES, MARY LEE \TR 151 DEER VALLEY DR UNIT 123 BOONE, NC 28607	RE 2017 2829-38-4508-046 REFUND RELEASE GARAGE VALUE ADJUSTED TO MATCH THE OTHER GARAGE VALUES IN THE COMPLEX	30087	09/30/2020	C02	7512	5,000	C02 G01	20.50 17.65 <hr/> 38.15

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1767054 MARY LEE JONES REVOCABLE TRUST JONES, MARY LEE \TR 151 DEER VALLEY DR UNIT 123 BOONE, NC 28607	RE 2018	30246	09/30/2020			5,000 C02	20.50
	2829-38-4508-046			C02		G01	17.65
	REFUND RELEASE				7511		38.15
GARAGE VALUE ADJUSTED TO MATCH THE OTHER GARAGE VALUES IN THE COMPLEX							
1767054 MARY LEE JONES REVOCABLE TRUST JONES, MARY LEE \TR 151 DEER VALLEY DR UNIT 123 BOONE, NC 28607	RE 2019	30605	09/30/2020			5,000 C02	20.50
	2829-38-4508-046			C02		G01	20.15
	REFUND RELEASE				7510		40.65
GARAGE VALUE ADJUSTED TO MATCH THE OTHER GARAGES IN THE COMPLEX							
1767054 MARY LEE JONES REVOCABLE TRUST JONES, MARY LEE \TR 151 DEER VALLEY DR UNIT 123 BOONE, NC 28607	RE 2020	2352	09/30/2020			5,000 C02	20.50
	2829-38-4508-046			C02		G01	20.15
	REFUND RELEASE				7509		40.65
GARAGE ADJUSTED TO SAME VALUE AS THE OTHER GARAGES IN THE COMPLEX							
1749079 MILLER, DANIEL F. CANTER, PEARL 343 CURLEY MAPLE RD BOONE, NC 28607	RE 2020	1000106	09/30/2020			0 G01	58.95
	1992-69-7603-000			F07			
	TAX RELEASES				7534		
DOUBLE BILLED							
1749079 MILLER, DANIEL F. CANTER, PEARL 343 CURLEY MAPLE RD BOONE, NC 28607	RE 2020	1000103	09/30/2020			0 F07	8.40
	1992-69-7637-000			F07		G01	67.70
	TAX RELEASES				7531		76.10
DOUBLE BILLED							
1749079 MILLER, DANIEL F. CANTER, PEARL 343 CURLEY MAPLE RD BOONE, NC 28607	RE 2020	1000104	09/30/2020			0 F07	8.40
	1992-69-7637-000			F07		G01	67.70
	TAX RELEASES				7532		76.10
DOUBLE BILLED							
1749079 MILLER, DANIEL F. CANTER, PEARL 343 CURLEY MAPLE RD BOONE, NC 28607	RE 2020	1000105	09/30/2020			0 F07	8.40
	1992-69-7637-000			F07		G01	59.30
	TAX RELEASES				7533		67.70
DOUBLE BILLED							
1558305 MOYER, ROBERT JAY MOYER, JANET S 8010 BULLARA DR TAMPA, FL 33637	RE 2020	48540	09/30/2020			0 FS1	29.10
	1990-08-4749-000			FS1		G01	234.55
	TAX RELEASES				7536		263.65
PARCEL SHOULD HAVE BEEN DEACTIVATED							

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OWNER NAME AND ADDRESS	CAT YEAR PROPERTY REASON	BILL	EFF DATE	JUR	REF NO	VALUE	CHARGE	AMOUNT
1754319 NARROW GAUGE PROPERTIES LLC 163 OLD FAIRWAY DR BOONE, NC 28607	RE 2020	46565	09/30/2020			60,400	F12	30.20
		2819-62-5277-000		F12			G01	243.41
	TAX RELEASES				7546			
								273.61
1552568 NYE, THEODORE S PO BOX 2320 BANNER ELK, NC 28604	RE 2020	36577	09/30/2020			0	F08	27.25
		1960-06-5239-000		F08			G01	219.64
	TAX RELEASES				7525			
								246.89
1552568 NYE, THEODORE S PO BOX 2320 BANNER ELK, NC 28604	RE 2020	36579	09/30/2020			0	F08	.25
		1960-06-6194-000		F08			G01	2.02
	TAX RELEASES				7528			
								2.27
1552568 NYE, THEODORE S PO BOX 2320 BANNER ELK, NC 28604	RE 2020	36580	09/30/2020			0	F08	7.95
		1960-06-7289-000		F08			G01	64.08
	TAX RELEASES				7526			
								72.03
1552568 NYE, THEODORE S PO BOX 2320 BANNER ELK, NC 28604	RE 2020	36581	09/30/2020			0	F08	20.15
		1960-06-8126-000		F08			G01	162.41
	TAX RELEASES				7527			
								182.56
1260298 PITNEY BOWES GLOBAL FINANCIAL 5310 CYPRESS CENTER DR STE 110 MSC TAX01 TAMPA, FL 33609	PP 2020	1000023	09/18/2020			0	G01	1.13
		3468		C03				
	TAX RELEASES				7542			
1515044 POWDER HORN MTN. POA 1568 POWDER HORN RD DEEP GAP, NC 28618	RE 2020	29617	09/24/2020			0	F05	10.20
		2858-69-3118-000		F05			G01	48.36
	TAX RELEASES				7553			
								58.56
1751121 POWERS, JAMES MITCHELL 5127 PRITCHETT DR NASHVILLE, TN 37220	RE 2020	23591	09/30/2020			0	F02	148.74
		2819-08-3968-000		F02			G01	999.04
	TAX RELEASES				7501		SWF	80.00
								1,227.78
1525280 PRESNELL, JANET MARIE PRESNELL, RANDALL M PO BOX 393 VILAS, NC 28692-0393	RE 2020	27732	09/30/2020			0	F04	11.90
		1953-57-9839-000		F04			G01	95.91
	TAX RELEASES				7538			
								107.81

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WATAUGA COUNTY  
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OWNER NAME AND ADDRESS	CAT YEAR PROPERTY REASON	BILL	EFF DATE	JUR	REF NO	VALUE	CHARGE	AMOUNT
1811115 RAY, HARLENE DOLLAR 159 PHILLIPS MTN DR DEEP GAP, NC 28618	PP 2020 3296 TAX RELEASES MH LISTED UNDER ACCOUNT 1773818	3047	09/30/2020	F09	7529	0	F09 G01 SWF	10.00 80.60 80.00 <hr/> 170.60
1799412 RHW3 FARMS LLC 4938 SOUTH HILL VIEW DR CHARLOTTE, NC 28210	PP 2020 3110 TAX RELEASES LISTED REALESTATE	2362	09/30/2020	F06	7555	264,030	F06 G01	132.02 1,064.04 <hr/> 1,196.06
1618540 SENDEL, DAVID E WINTERS, SUSIE B 195 DAY DR BOONE, NC 28607	RE 2020 2941-22-3280-000 TAX RELEASES PARCEL SHOULD HAVE BEEN DEACTIVATED	42762	09/30/2020	F10	7523	0	G01 F10 SWF	1,023.22 126.95 80.00 <hr/> 1,230.17
1764266 SOMERSET CAPITAL GROUP LTD 612 WHEELERS FARMS RD MILFORD, CT 06461-1673	PP 2020 1977 TAX RELEASES EQUIPMENT NO LONGER IN WATAUGA COUNTY	3609	09/30/2020	F12	7521	0	F12 G01 F12L G01L	.58 4.67 .06 .47 <hr/> 5.78
1784986 STEGALL, ELIZABETH CONLEY, TRUSTEE (1/2) PATTERSON, MELANIE MULKEY (1/2) 318 GEORGE MORETZ LN BOONE, NC 28607	RE 2020 2923-30-6854-000 TAX RELEASES PARCEL SHOULD HAVE BEEN DEACTIVATED	39994	09/30/2020	F09	7505	0	F09 G01	31.65 255.10 <hr/> 286.75
1754752 SWARTZ, JUSTIN 2000 CUMBERLAND AVE CHARLOTTE, NC 28203	RE 2020 2847-76-2536-000 TAX RELEASES PARCEL SHOULD HAVE BEEN DEACTIVATED	29975	09/30/2020	F05	7547	0	F05 G01	8.84 41.91 <hr/> 50.75
1541831 VALLE CAY PROPERTY OWNERS ASSN INC VALLE CAY BOX 1 VILAS, NC 28692	RE 2020 1971-81-8649-000 TAX RELEASES COMMON AREA-SHOULD HAVE BEEN EXEMPT	35363	09/02/2020	F07	7506	0	F07 G01	2.00 16.12 <hr/> 18.12
1753236 WFG SWEETGRASS, LLC 19421 LIVERPOOL PKWY CORNELIUS, NC 28031	RE 2020 1897-06-1161-000 REFUND RELEASE PARCEL SHOULD HAVE BEEN DEACTIVATED	47845	09/30/2020	F12	7550	0	F12 G01	842.60 6,791.36 <hr/> 7,633.96

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 RELEASES - 09/01/2020 TO 09/30/2020

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OWNER NAME AND ADDRESS	CAT YEAR PROPERTY REASON	BILL	EFF DATE	JUR	REF NO	VALUE CHARGE	AMOUNT
1180744 WINEBARGER, DONALD O 4857 MEAT CAMP RD TODD, NC 28684-9537	RE 2020 2904-58-7677-000 TAX RELEASES MUNIS BILLED A DEACTIVATED PARCEL	40401	09/08/2020	F09	7517	0 F09 G01	43.20 348.19 <hr/> 391.39
1180744 WINEBARGER, DONALD O 4857 MEAT CAMP RD TODD, NC 28684-9537	RE 2020 2904-68-4282-001 TAX RELEASES MUNIS BILLED A DEACTIVATED PARCEL	40402	09/08/2020	F09	7515	0 F09 G01 SWF	66.00 531.96 80.00 <hr/> 677.96
1518827 WINEBARGER, DONALD OLEN AND MARY 4857 MEAT CAMP RD TODD, NC 28684-9537	RE 2020 2904-68-4282-000 TAX RELEASES MUNIS BILLED A DEACTIVATED PARCEL	40405	09/08/2020	F09	7516	0 F09 G01	23.95 193.04 <hr/> 216.99
1748670 ZIMMER, LINN L 125 TWEETSIE LN BANNER ELK, NC 28604	RE 2020 1878-78-4031-000 TAX RELEASES MUNIS BILLED A DEACTIVATED PARCEL	17652	09/01/2020	F01	7504	0 F01 G01 SWF	130.45 1,051.43 80.00 <hr/> 1,261.88
DETAIL SUMMARY	COUNT: 53	RELEASES - TOTAL				589,460	97,305.92

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RELEASES - 09/01/2020 TO 09/30/2020

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RELEASES - CHARGE SUMMARY FOR ALL CLERKS

YEAR	CAT	CHARGE	AMOUNT	
2016	RE	C02	BOONE RE	20.50
2016	RE	G01	WATAUGA COUNTY RE	15.65
			2016 TOTAL	36.15
2017	RE	C02	BOONE RE	20.50
2017	RE	G01	WATAUGA COUNTY RE	17.65
			2017 TOTAL	38.15
2018	RE	C02	BOONE RE	20.50
2018	RE	G01	WATAUGA COUNTY RE	17.65
			2018 TOTAL	38.15
2019	RE	C02	BOONE RE	20.50
2019	RE	G01	WATAUGA COUNTY RE	20.15
			2019 TOTAL	40.65
2020	RE	C02	BOONE RE	24.60
2020	RE	F01	FOSCOE FIRE RE	141.85
2020	RE	F02	BOONE FIRE RE	148.74
2020	RE	F04	BEAVER DAM FIRE RE	11.90
2020	RE	F05	STEWART SIMMONS FIRE RE	19.04
2020	RE	F06	ZIONVILLE FIRE RE	8.75
2020	RE	F07	COVE CREEK FIRE RE	201.60
2020	RE	F08	SHAWNEEHAW FIRE RE	55.60
2020	RE	F09	MEAT CAMP FIRE RE	369.30
2020	RE	F10	DEEP GAP FIRE RE	126.95
2020	RE	F12	BLOWING ROCK FIRE RE	1,729.47
2020	RE	FS1	FOSCOE SERV DIST RE	29.10
2020	RE	FS3	BEECH MOUNTAIN SERV DIST RE	26.60
2020	RE	G01	WATAUGA COUNTY RE	90,663.64
2020	RE	SWF	SANITATION USER FEE	1,040.00
2020	PP	C02	BOONE PP	423.57
2020	PP	C02L	BOONE LATE LIST	42.36
2020	PP	F02	BOONE FIRE PP	4.80
2020	PP	F02L	BOONE FIRE LATE LIST	.48
2020	PP	F06	ZIONVILLE FIRE PP	132.02
2020	PP	F09	MEAT CAMP FIRE PP	11.46
2020	PP	F09L	MEAT CAMP FIRE LATE LIST	.15
2020	PP	F12	BLOWING ROCK FIRE PP	.58
2020	PP	F12L	BLOWING ROCK FIRE LATE LIST	.06
2020	PP	G01	WATAUGA COUNTY PP	1,649.81
2020	PP	G01L	WATAUGA COUNTY LATE LIST	50.39
2020	PP	SWF	SANITATION USER FEE	240.00
			2020 TOTAL	97,152.82
			SUMMARY TOTAL	97,305.92

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RELEASES - 09/01/2020 TO 09/30/2020

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RELEASES - JURISDICTION SUMMARY FOR ALL CLERKS

JUR	YEAR	CHARGE	AMOUNT	
C02	2016	C02	BOONE RE	20.50
C02	2016	G01	WATAUGA COUNTY RE	15.65
C02	2017	C02	BOONE RE	20.50
C02	2017	G01	WATAUGA COUNTY RE	17.65
C02	2018	C02	BOONE RE	20.50
C02	2018	G01	WATAUGA COUNTY RE	17.65
C02	2019	C02	BOONE RE	20.50
C02	2019	G01	WATAUGA COUNTY RE	20.15
C02	2020	C02	BOONE RE	448.17
C02	2020	C02L	BOONE LATE LIST	42.36
C02	2020	G01	WATAUGA COUNTY RE	440.52
C02	2020	G01L	WATAUGA COUNTY LATE LIST	41.63
		C02 TOTAL		1,125.78
C03	2020	G01	WATAUGA COUNTY PP	67,729.71
		C03 TOTAL		67,729.71
C05	2020	G01	WATAUGA COUNTY PP	37.04
C05	2020	G01L	WATAUGA COUNTY LATE LIST	3.70
		C05 TOTAL		40.74
F01	2020	F01	FOSCOE FIRE RE	141.85
F01	2020	G01	WATAUGA COUNTY RE	1,143.31
F01	2020	SWF	SANITATION USER FEE	160.00
		F01 TOTAL		1,445.16
F02	2020	F02	BOONE FIRE RE	153.54
F02	2020	F02L	BOONE FIRE LATE LIST	.48
F02	2020	G01	WATAUGA COUNTY RE	1,031.28
F02	2020	G01L	WATAUGA COUNTY LATE LIST	3.22
F02	2020	SWF	SANITATION USER FEE	160.00
		F02 TOTAL		1,348.52
F04	2020	F04	BEAVER DAM FIRE RE	11.90
F04	2020	G01	WATAUGA COUNTY RE	95.91
		F04 TOTAL		107.81
F05	2020	F05	STEWART SIMMONS FIRE RE	19.04
F05	2020	G01	WATAUGA COUNTY RE	90.27
		F05 TOTAL		109.31
F06	2020	F06	ZIONVILLE FIRE RE	140.77
F06	2020	G01	WATAUGA COUNTY RE	1,134.57
		F06 TOTAL		1,275.34
F07	2020	F07	COVE CREEK FIRE RE	201.60
F07	2020	G01	WATAUGA COUNTY RE	1,677.47
F07	2020	G01L	WATAUGA COUNTY LATE LIST	.20

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WATAUGA COUNTY  
RELEASES - 09/01/2020 TO 09/30/2020

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RELEASES - JURISDICTION SUMMARY FOR ALL CLERKS

JUR	YEAR	CHARGE	AMOUNT
F07	2020	SWF SANITATION USER FEE	160.00
		F07 TOTAL	2,039.27
F08	2020	F08 SHAWNEEHAW FIRE RE	55.60
F08	2020	G01 WATAUGA COUNTY RE	448.15
		F08 TOTAL	503.75
F09	2020	F09 MEAT CAMP FIRE RE	380.76
F09	2020	F09L MEAT CAMP FIRE LATE LIST	.15
F09	2020	G01 WATAUGA COUNTY RE	3,068.89
F09	2020	G01L WATAUGA COUNTY LATE LIST	1.17
F09	2020	SWF SANITATION USER FEE	480.00
		F09 TOTAL	3,930.97
F10	2020	F10 DEEP GAP FIRE RE	126.95
F10	2020	G01 WATAUGA COUNTY RE	1,023.22
F10	2020	SWF SANITATION USER FEE	80.00
		F10 TOTAL	1,230.17
F12	2020	F12 BLOWING ROCK FIRE RE	1,730.05
F12	2020	F12L BLOWING ROCK FIRE LATE LIST	.06
F12	2020	G01 WATAUGA COUNTY RE	13,944.16
F12	2020	G01L WATAUGA COUNTY LATE LIST	.47
F12	2020	SWF SANITATION USER FEE	240.00
		F12 TOTAL	15,914.74
FS1	2020	FS1 FOSCOE SERV DIST RE	29.10
FS1	2020	G01 WATAUGA COUNTY RE	234.55
		FS1 TOTAL	263.65
FS3	2020	FS3 BEECH MOUNTAIN SERV DIST RE	26.60
FS3	2020	G01 WATAUGA COUNTY RE	214.40
		FS3 TOTAL	241.00
		SUMMARY TOTAL	97,305.92

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**AGENDA ITEM 9:**

**PROPOSED INMATE CATASTROPHIC INSURANCE CONTRACT**

**MANAGER'S COMMENTS:**

Ms. Misty Watson, Finance Director, will present the contract renewal with Insurance Management Consultants for catastrophic insurance for inmates housed in the County jail. The insurance shields the County from large medical claims that occur while inmates are being housed in the Watauga County Jail.

Board action is required to approve the contract with Insurance Management Consultants, Inc. for catastrophic insurance coverage for \$36,896, a \$5,494 decrease, with a \$10,000 deductible. Adequate funds are available to cover the contracted cost.



# WATAUGA COUNTY

## FINANCE OFFICE

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814 West King St., Room 216 - Boone, NC 28607 - Phone (828) 265-8007 Fax (828) 265-8006

### MEMORANDUM

**TO:** Deron Geouque, County Manager  
**FROM:** Misty Watson, Finance Director  
**SUBJECT:** Inmate Catastrophic Insurance Contract  
**DATE:** October 12, 2020

Attached please find information on the renewal contract from Insurance Management Consultants, Inc. for the insurance policy for large medical claims incurred on behalf of inmates in the County's care. The renewal amount is \$36,896 with the \$10,000 deductible. This represents a \$5,494 decrease from last year's premium. Funds of \$45,000 are available in the current detention budget for this contract. I recommend acceptance of option 1 with the \$10,000 deductible.

Board approval is requested for the contract.



Administered by:  
Hunt Insurance Group, LLC

Date of Proposal: October 6, 2020  
 Proposed Insured: Watauga County Sheriff's Office  
 City, State: Boone, NC  
 Facilities Include: Watauga County Jail  
 Issuing Company: Sirius American Insurance Company  
 A.M. Best Rating "A-" Excellent  
 Coverage Type(s): Limited Health Expense Benefits - provided outside the walls of the facility, or facilities, listed above and as outlined in the Insurance Policy.  
 Policy Form: Blanket Accident Medical  
 Effective Date: 12/1/2020  
 Number of Inmates: 67

Specific Coverage	Option 1	Option 2	Option 3	Option 4
Per Inmate Deductible:	\$10,000	\$15,000	\$20,000	\$25,000
Per Inmate Coverage Limit:	\$250,000	\$250,000	\$250,000	\$250,000
Policy Maximum:	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000
Rate Per Inmate Per Month:	\$45.89	\$36.92	\$30.84	\$26.38
Prior to Booking / During Pursuit Coverage:	Included	Included	Included	Included
<b>Claims Accumulation Basis:</b>	<b>Eligible Medical Services shall accumulate to satisfy the Per Inmate Deductible as outlined below and be reimbursed at the following:</b>			
<b>Covered Expenses:</b>				
In-Patient Hospital Services:	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid
Outpatient Hospital Services:	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid
Physician Services:	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid
Outpatient Diagnostic X-ray and Laboratory Services:	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid
Prescription Drugs:	Limited to those provided and administered during a Hospital Stay. Specialty Drugs are NOT covered.	Limited to those provided and administered during a Hospital Stay. Specialty Drugs are NOT covered.	Limited to those provided and administered during a Hospital Stay. Specialty Drugs are NOT covered.	Limited to those provided and administered during a Hospital Stay. Specialty Drugs are NOT covered.
Ambulance Services:	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid
Medical Services and Supplies:	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid	Lesser of the Amount Paid or 150% of Medicaid
<b>TOTAL PREMIUM:</b>	<b>\$36,895.56</b>	<b>\$29,683.68</b>	<b>\$24,795.36</b>	<b>\$21,209.52</b>

**Conditions and Assumptions**

- Includes coverage for AIDS/HIV & Pregnancy; Specialty Drugs are EXCLUDED.  
This proposal is based on data submitted, plus other information furnished relevant to underwriting the risk, including all claims or possible claims, paid, pending or denied pending additional information, or which the prospective insured or its authorized representative should otherwise be aware of. Any inaccuracy in the data submitted or failure to disclose any such information can change the terms, conditions, rates or factors of this offer or can void offer and coverage.
- Claim Provisions:
 

	<b>From:</b>	<b>To:</b>
Claims Incurred:	December 1, 2020	November 30, 2021
Claims Reported:	December 1, 2020	May 31, 2022
Claims Submitted:	December 1, 2020	May 31, 2022
- This proposal is valid for the stated effective date shown above provided the prospective insured or its authorized representative elects one of the above options by 11/30/2020 by submitting a signed application, which will be provided after your selection is made. Until we obtain the signed application, the rates and factors are subject to change as additional information is received.
- Acceptance of this quote is contingent upon and subject to the actual terms of the policy as issued, which occurs upon binding and premium payment. If there is any conflict between this quote and the policy, the policy will govern in all cases.

I select the following option (please check):

Option 1:	Option 2:	Option 3:	Option 4:
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Signature of Prospective Insured: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_



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**AGENDA ITEM 10:**

**MISCELLANEOUS ADMINISTRATIVE MATTERS**

*A. New Community Recreation Center Update*

**MANAGER'S COMMENTS:**

The County Manager will provide an update regarding the new community recreation center.

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**AGENDA ITEM 10:****MISCELLANEOUS ADMINISTRATIVE MATTERS*****B. Boards and Commissions*****MANAGER'S COMMENTS:****Board of Adjustment**

The terms of Alyson Browett (Valle Crucis Historic District), current Chair; John Prickett (Howard's Creek Watershed), current Vice-Chair; Emily Bish (Foscoe Grandfather Community), Alternate, are set to expire in November. All are willing to continue to serve for an additional three (3) year term. New General Statute NCGS 160D for planning makes no mention of representation of each zoned/regulated area; however, Mr. Joe Furman, Planning and Inspections Director, has indicated that would probably be a good idea when possible or "practicable" per the former statute.

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**AGENDA ITEM 10:**

**MISCELLANEOUS ADMINISTRATIVE MATTERS**

*C. Announcements*

**MANAGER'S COMMENTS:**

Due to the Commissioners' Board Room being an official polling site on Election Day, the November 3, 2020, regular meeting of the Board of Commissioners has been cancelled. The next regular meeting of the Board will be on Tuesday, November 17, 2020, at 5:30 P.M.

**AGENDA ITEM 11:**

**PUBLIC COMMENT**

**AGENDA ITEM 12:**

**BREAK**

**AGENDA ITEM 13:**

**CLOSED SESSION**

Attorney/Client Matters – G. S. 143-318.11(a)(3)  
Personnel Matters – G. S. 143-318.11(a)(6)