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# 2019 Lake County Human Services Grant Application Instructions

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**Emergency Solutions Grant**



**CDBG**



**Lake County Video Gaming funds**

# 2019 Lake County Human Services Grant Application Instructions

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## All Grant Sources - General Instructions

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### Application Caveat

Lake County staff, Waukegan staff and the Housing & Community Development Commission reserve the right to reject from consideration any applications that meet any of the following:

- Does not clearly meet a program National Objective;
- Does not clearly meet an approved goal for the 2019 application process;
- Is deemed incomplete and/or requires significant work to repair the original application submittal;
- Raises questions about an applicant's ability to effectively administer the requested project/program;
- Does not submit a Letter of Intent on time as required by Lake County/North Chicago and Waukegan;
- Does not submit an Application on time.

### Important Dates

#### Training Workshop

- Consolidated Application Training Workshop --- August 30, 2018 @ 10 am  
Location: City of Waukegan, City Council Chambers
- Attendance is *recommended* for all applicants.

#### Submission Deadlines

- *Letter of Intent/Checklist due date* --- September 14, 2018
  - *Required* for all applications (Lake County, Waukegan and North Chicago)
- *Application Deadline:*

Due	Waukegan CDBG*	Lake County/North Chicago CDBG/ESG/Video Gaming
October 19, 2018 4:00pm	1 original, 10 copies delivered to: 100 N. Martin Luther King Jr. Ave. Waukegan, IL	1 original, 3 copies,** 1 electronic (flash drive/email***) of application and attachments delivered to: 500 W Winchester Rd. Libertyville, IL

**Applications are due no later than the dates/times listed above. Late applications will NOT be accepted, regardless of circumstances.**

\*No attachments need to be included with the 10 copies for Waukegan

\*\*Except for the audit, no attachments are required with the 3 copies

\*\*\*Electronic applications for Lake County may be submitted to [communitydevelopment@lakecountyil.gov](mailto:communitydevelopment@lakecountyil.gov)

## Letter of Intent Instructions

It is **required** that all applicants for Lake County, North Chicago and Waukegan funds submit a Letter of Intent by September 14, 2018. The Letter of Intent is available at:

<https://www.lakecountyil.gov/1907/Applicants>. Please fill out the information and attach to an email to [communitydevelopment@lakecountyil.gov](mailto:communitydevelopment@lakecountyil.gov) for Lake County and North Chicago and to [Laraesa.Garland@waukeganIL.gov](mailto:Laraesa.Garland@waukeganIL.gov) for City of Waukegan.

Lake County and Waukegan staff are available for one-on-one technical assistance to all applicants, especially new/first-time applicants, until the application deadline. Individual technical assistance appointments with Lake County Staff can be arranged by calling 847.377.2150 Monday through Friday, 8:30 a.m. to 4:30 p.m. Appointments for technical assistance with Waukegan staff can be made by calling 847-599-2530 or writing Laraesa Garland at [Laraesa.Garland@waukeganIL.gov](mailto:Laraesa.Garland@waukeganIL.gov). The Waukegan office is open 8 a.m. – 5 p.m. Monday through Friday. Be sure to schedule an appointment early enough to allow sufficient time to complete the application before the deadline.

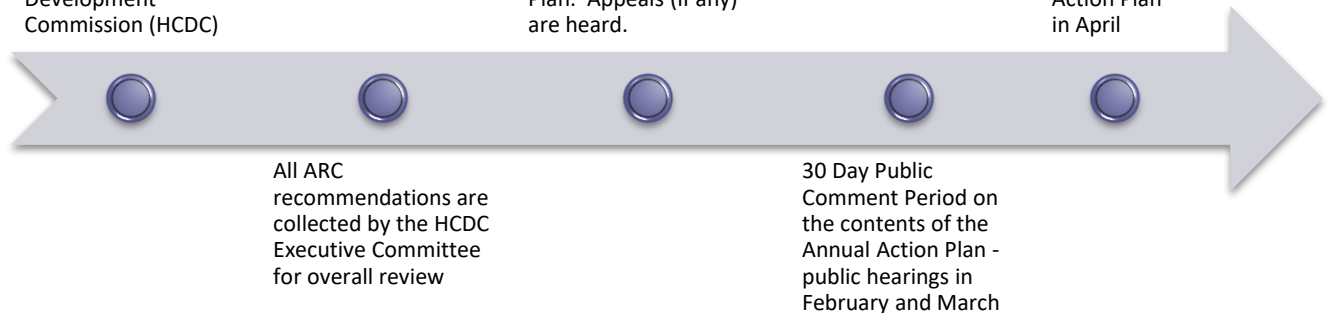
## Application Submittal Instructions

Original and hard copies of applications must be submitted for Waukegan CDBG to the Waukegan CDBG office in Waukegan City Hall (3<sup>rd</sup> floor) at 100 N. Martin Luther King Jr. Ave., Waukegan, and for Lake County/North Chicago CDBG, ESG and VGR at the 2<sup>nd</sup> floor of the Permit Center at 500 W Winchester Rd in Libertyville IL.

ARC Hearings - agencies may be interviewed and applications are ranked by members of the Community Development Commission (HCDC)

Funding recommendations are passed on to the full HCDC, which puts the recommendations into a DRAFT Annual Action Plan. Appeals (if any) are heard.

Final Approval of the Annual Action Plan in April



## Lake County Requirements & Timeline

### Appeals Hearing

- All grants except Waukegan: November 14, 2018 (HCDC Nov. meeting)

### Advisory Review Committee

- ESG: November 16, 2018, 9 a.m. 500 W. Winchester, Libertyville
- CDBG Public Services and Lake County Video Gaming: December 14, 2018, 9 a.m. 500 W. Winchester, Libertyville

### Executive Committee Review

- All grants except Waukegan: February 2019 HCDC (see <https://www.lakecountyil.gov/calendar.aspx?CID=64.47>) for further detail

### **Waukegan Stakeholder Participation Panel**

- Required for Waukegan CDBG applicants only. Contact grant specialist for dates/times.

### **Housing and Community Development Public Hearing #1**

- All grants except Waukegan: February 2019 HCDC (see <https://www.lakecountyil.gov/calendar.aspx?CID=64.47>) for further detail

### **Housing and Community Development Public Hearing #2**

- All grants except Waukegan: March 2019 HCDC (see <https://www.lakecountyil.gov/calendar.aspx?CID=64.47>) for further detail

### **Lake County Board**

- All grants except Waukegan: April 2019 Lake County Board meeting (see <https://www.lakecountyil.gov/calendar.aspx?CID=64.47>) for further detail

### **Waukegan Committee reviews**

- **Contact Waukegan CDBG Staff for further details**

## **Appeals Process**

Any applicant whose application is rejected by staff for any reason may appeal that decision to the November 2018 Housing & Community Development Commission's Executive Committee meeting. Any applicant wishing to appeal the rejection must notify staff no later than 4:00pm on November 10, 2018. All appeals will be heard. More information can be found in the Lake County Citizen Participation Plan and Housing & Community Development Commission by-laws.

A project applicant not initially recommended for funding by the Housing & Community Development Commission Executive Committee may request reconsideration by presentation to the full Community Development Commission. Applicants will be limited to three (3) minutes in which to address the Commission. Applicants may also submit written comments to: Housing & Community Development Commission Chairperson, Lake County Community Development, 500 W. Winchester Road, Unit 101, Libertyville, IL 60048.

## **Application Formatting**

- All applications must be collated
- All paperwork must be three-hole punched
- Applications should not be stapled or bound
- Do not use more than the space requirement listed with the questions. It is not necessary to answer questions paragraph style. Please feel free to use bullets and short answers where appropriate. Keep explanations concise and readable. Font size must be no less than 10.
- Keep in mind that the application reviewers may not be familiar with the details of your agency. Please make sure the program is completely explained and the questions are fully answered.

## **DUNS Number and SAM registration**

All applicants are required to register with Dun and Bradstreet to obtain a DUNS number, if they have not already done so, and complete or renew their registration in the federal System for Award

Management ([www.sam.gov](http://www.sam.gov)). Information about this process will be presented at the application workshops.

## Consolidated Plan Goals

Applicants may apply only for the goals approved for the 2019 Application Process - more details are available in the Consolidated Plan.

### CDBG Public Services

- **Subsidize Housing for Low/Mod Income Families (Goal #4):** *To provide direct assistance to facilitate and expand homeownership among and/or to provide rental assistance to persons of low and moderate income.*
- **Assist People with Disabilities (Goal #7):** *To provide both services to people with disabilities and accessibility modifications to the homes, facilities and workplaces of people with disabilities, including the elderly.*
- **Provide Welcoming Communities (Goal #8):** *To foster welcoming, inclusive and neighborly suburban communities.*
- **Provide Services for Job Stability (Goal #10):** *To support low- and moderate-income workers in need of job training, of transportation for access to employment or of access to affordable, quality child care.*

### Emergency Solutions Grant (ESG)

- **Assist People Without a Home (Goal #3):** *To provide services and operations for emergency shelter programs, including domestic violence shelters, rapid rehousing, homelessness prevention and street outreach.*

### Waukegan CDBG

- **Public Services (Goal #3):** *To provide for (directly or indirectly) a variety of public services for residents of the community.*

### Lake County Video Gaming

- **Assessment, education and outreach for gambling addiction** - *To provide services that increases the awareness of and the detection of problem gambling in Lake County.*
- **Clinical gambling addiction services** - *To provide mental health services by licensed practitioners to Lake County citizens with a gambling addiction.*
- **Non-clinical gambling addiction services** - *To provide non-clinical services that aid in the recovery of Lake County citizens from the negative effects of gambling addiction (i.e. credit repair counseling, crime prevention, support groups).*
- **Other behavioral health services** - *To provide other behavioral health services by licensed professionals, not specifically associated with gambling, to Lake County residents.*

## Budget Instructions

Use budget forms provided. Note: There are **three** different budgets you must submit:

- Agency Budget
  - Should be the budget for the entire organization, separated into Revenue and Direct or Programming Expenses.
- Program Budget

- Should be the budget for this specific program, separated into Revenue and Direct or Programming Expenses. If the program budget and agency budget are the same, check the box on the program budget page indicating that - no need to fill it out again.
  - “Actual Previous Year” refers to 2017 Calendar Year or last fiscal Year.
  - “Current Operating Year” refers to 2018 Calendar Year or current fiscal Year.
  - “Projected Next Year” refers to 2019 Calendar Year or next fiscal Year.
- Use of Funds Budget
  - Should be the budget for the proposed funding in the application. There are separate areas for CDBG/Lake County Video Gaming and ESG budgets. Only complete the budget(s) that applies to the application.

### Total Direct Expenses

- Refer to the program costs only; in other words, total program costs less administration and fundraising expenses.
- Requests for real estate or capital improvements are ineligible and will not be considered.

### Administration and fundraising costs

- Refer to those items that are not related to direct program expenses. Examples may include supplies for a special event, administrative staff time spent preparing grants, costs associated with budgeting or strategic planning, and all staff and non-personnel costs needed for general management purposes.

### Administration and fundraising costs/total expense (%)

- Refers to the percent calculated by dividing the Administration/Fundraising costs by the total expenses.

### Total expenses

- Equal the total direct expenses plus the administration/fundraising costs.

### Surplus/deficit

- Is the remainder when you subtract the total expenses from the total revenue. Show negative numbers in parentheses.

## Program Outcomes Instructions

Outcome measurement is the process of assessing the results of an agency’s programs for its participants on a regular basis. By focusing on outcomes, we are seeking information how participants will benefit from the program’s activities and outputs.

- Identify 1-3 client-based outcomes for your program (see next page for exceptions). The outcomes should be problem-related, attainable, and measurable statements of a program’s intended effect on its client’s knowledge, skills, attitudes, behavior, or condition OR the measurable effect on someone because of what they did in your program.
- When reporting Results, state the number served and rate of achievement as it relates to the outcome.
- If you did not set outcomes for the current or most recent years, provide some form of program goals and corresponding results.
- Unless otherwise noted, applicants are not required to have the same outcomes year to year.



Exceptions:

- **ESG applicants are not required to submit outcomes measures.** As necessary, reports will be drawn from HMIS to determine program quality. New programs without existing HMIS data may contact their grant administration specialist with questions and concerns.
- Applicants for **Video Gaming Revenue providing direct client services need to only submit one proposed outcome but should report on three goals from the previous year.** The other two proposed goals will be provided by Community Development.

### Key Definitions:

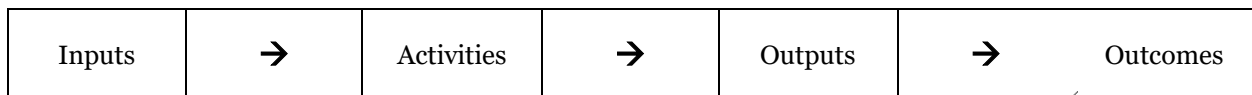
Outcomes are created as a result of programmatic inputs, activities and outputs. Often outcomes are confused with these other components of programming, which are quite different.

**Inputs** include resources dedicated to or consumed by the program, such as money, staff and staff time, volunteers and volunteer time, facilities, equipment and supplies.

**Activities** are what the program does with the inputs to fulfill its mission, such as sheltering and feeding homeless families or training and counseling homeless adults to help them prepare for jobs.

**Outputs** are the direct products of program activities. They usually are measured in terms of the volume of work accomplished, such as the numbers of participants served, and materials distributed.

**Outcomes** are benefits or changes for individuals or populations during or after participating in program activities. Outcomes may relate to knowledge, attitudes, values, skills, behaviors, conditions, or other attributes.



### How to Write Outcomes

An outcome-oriented objective is a problem related, attainable and measurable statement of a program's intended effect on its client's knowledge, skills, attitudes, behavior or condition.

Simply put, a client-based outcome is:

- **Focused** on what the **client** will gain from the program
- **Measurable** and defines how it will be measured
- **Specific**
- **Attainable** and can be attributed to that program
- **Understandable** to someone outside of the program

The outcome statement must include specific *targets*, how they will be *measured*, and the *strategies* or steps that the program must accomplish to meet the targets. The outcomes must be specific, identifying what the client will get out of these services (not just that clients will be served, counseled, etc.). When providing a level of achievement, state the number served/percent increase, not just "achieved" or "not achieved." Outcomes do not need to encompass every aspect of the program.

### Outcomes - Example

<i>State the Outcome</i>	<i>Strategies</i>	<i>Measurement</i>	<i>Target Dates</i>	<i>Rationale</i>	<i>Long Term Effect</i>
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X number of clients will accomplish Y for/in Z amount of time.	Describe how the outcome will be achieved.	Describe the methods used to assess the outcome.	What are the target dates for this outcome?	Explain why the outcome, target and strategies were chosen. Discuss how the results are attributable to this program. For previous outcomes, explain why a goal was overachieved, underachieved and any plans to change in the following year.	Explain how this outcome is beneficial to clients and/or the community; explanation can go beyond the term of your funding request.
<i>50 clients, formerly on TANF, will get and keep a job</i>	<i>200 clients will go through a job skill workshop. 100 clients will be placed in a living wage job.</i>	<i>Caseworker and client report.</i>	<i>6 months after completion of job skill workshop</i>	<i>This goal is attainable because follow-up will be done weekly, and support will be given when needed to all working clients to insure the success of the placement...</i>	<i>Statistics show that the success of the community is proportional to the number of residents making a living wage. Children do better in school, are healthier...</i>

## Additional Lake County Requirements

**Minimum Eligibility Threshold:** Applications scoring 70% or more of available points in the Scoring Criteria will be considered eligible for funding but are not guaranteed to be recommended for funding. Applications receiving below 70% of available points in the Scoring Criteria may not be recommended for funding. The HCDC and Lake County reserve the right to consider factors other than those listed in the Scoring Criteria.

***Prior receipt of funding does not insure or suggest ongoing financial support. Agencies should not become dependent on Community Development Block Grant (CDBG), Lake County Video Gaming Revenue (VGR) or Emergency Solutions Grant (ESG) funding to sustain their programs.***

## Lake County/North Chicago CDBG and ESG Specific Instructions

The following is applicable to **Lake County and North Chicago CDBG Public Services** and **Lake County ESG funds**. Applications for other CDBG funds and HOME funds will be available on the Lake County website. Participation in the ServicePoint Referral Network will be a requirement of all grantees unless participation is not practicable.

### **Lake County CDBG applicants must:**

- be either units of government, public not-for-profit entities or private not-for-profit entities;
- be open to all residents of the county and must provide services to beneficiaries throughout Lake County, not just in North Chicago or Waukegan.

### **North Chicago CDBG applicants must:**

- be either units of government, public not-for-profit entities or private not-for-profit entities;
- serve North Chicago residents

### **ESG applicants must:**

- be either units of government, public not-for-profit entities or private not-for-profit entities;
- be open to all residents of the county and must provide services to beneficiaries throughout Lake County, not just in North Chicago or Waukegan.
- **Lake County ESG applicants special note regarding HMIS:** The U.S. Department of Housing & Urban Development requires all recipients of ESG funds to participate in the Lake County Continuum of Care's Homeless Management Information System (HMIS), commonly known as ServicePoint.

Contact Yareli Salgado at 847.377.2134 with any questions related to the HMIS.

## **Minimum/maximum amount of requests**

- CDBG: a minimum of \$10,000 and for no more than the maximum of \$50,000
- ESG: a minimum of \$10,000 and no maximum.

## **Estimated Funds Available - Contingent on 2019 HUD Budget**

- Lake County ESG - \$215 K (estimate)
- Lake County CDBG - \$400K (estimate)
- North Chicago CDBG - \$30K (estimate)

## **Match/Leverage**

All applicants must be able to provide funding for a portion of the proposed program from other sources.

- CDBG = at least 25% of the total grant amount
- ESG = at least 100% of the total grant amount (dollar for dollar match)

## Lake County/North Chicago CDBG and Lake County ESG Scoring Criteria

### *Community Impact*

**Community Need (0-30 Points)** - Reviewers will score this category based upon the overall impact that the proposed program will have in addressing a community development need identified in the Consolidated Plan. Additional points may be awarded to programs that address pressing needs also documented in community-wide studies and data analysis (e.g. 2014 Behavioral Health Needs Assessment, data related to the Zero to 2016 Campaign to end chronic and veteran homelessness in the next two years, etc.) Reviewers will consider the extent to which the proposed program is needed in the community by considering other known similar programs in the community, the actual number of people to be served, and the impact if the program were not funded.

**Financial Need (0-20 Points)** - Reviewers will score this category based on the criticality of the requested funds for the organization's finances.

**Lake County Impact (0-25 Points)** - A formula will be used to determine 10 points of the score in this category. It is based on the percentage of Lake County entitlement client and the difference between that percentage and the percentage of the budget request. A reminder that Lake County CDBG is able to fund programs that serve Waukegan and North Chicago clients as well, but its emphasis will be placed on clients served in the Lake County entitlement area.

The remaining 15 points will be scored by the reviewers and will be based on the overall impact to the County.

**Outcomes (Not applicable to ESG) (0-20 Points)** - The reviewers will score this section based upon how well the outcomes are written for the proposed program. The application should include client-based outcomes that identify benefits or changes for individuals or populations as a direct result of participating in the proposed program. Outcomes should be focused, measurable, meaningful, specific, attainable, and identify a change in the clients' knowledge, attitudes, values, skills, behaviors, and/or condition. The strategies, mechanisms for measurement, target dates and rationale should also be clear and understandable. The long-term effects should reflect a general benefit to the community, in line with what is stated in the Con Plan goals.

### *Program Quality*

**Program Design (0-30 Points)** - The reviewers will score this section based upon how well the program is expected to efficiently and effectively accomplish its proposed program outcomes. The reviewer may consider whether the program follows a proven model, whether the design seems reasonable, and whether the program has sufficiently prepared to overcome obstacles.

The reviewer will also evaluate the level to which the program is able to collaborate with other agencies in the community. Stronger programs share their resources with others and similarly benefit from collaboration as well.

The reviewer will also consider how well the program is able to follow-up with their clients' progress, assess their levels of satisfaction and provide adequate referrals if further intervention is needed. Programs should be prepared to prevent further escalation of clients' problems.

**Staffing and Facilities (0-15 Points)** - The reviewer will score this section based upon the program management and the institutional knowledge of the agency and program by considering: the staff levels of experience and training, availability in full-time positions; and the staff turnover. The reviewer will consider how well the agency is equipped to run the program successfully and how accessible (to people with disabilities) their location is.

### *Agency Capacity*

**Past Performance (0-30 Points)** - The reviewer will score this section based upon the overall history of the program and agency in successfully achieving their outcomes and effectively providing services. The reviewer will assess the program's readiness and capacity to undertake the proposed activity. The reviewer will also consider staff reports regarding the agency's ability to successfully complete its application. If the agency has been funded in the past, reviewers will also take into account the performance in completing quarterly reports and vouchers in a correct, consistent and timely manner.

**Agency Fiscal Management (0-20 Points)** - The reviewer will score this section based upon their assessment of the audit report and the Budgets and Financial Assessments for the Agency. Reviewers will evaluate the diversity and resilience of the various funding sources that support the agency and note the ratio of administrative and fund-raising costs to total expenses.

**Program Sustainability (0-20 Points)** - The reviewer will score this section based upon whether it seems that there are sufficient resources for the program to complete its objectives within the program year. The reviewer will assess the organizational and fiscal viability of the program in the near future.

## Lake County Video Gaming Specific Instructions

**Lake County Video Gaming fund applicants must:**

- be either units of government, public not-for-profit entities or private not-for-profit entities;
- be open to all residents of the county and must provide services to beneficiaries throughout Lake County, not just in North Chicago or Waukegan.
- participate in the ServicePoint referral network for, at a minimum, the duration of the grant funding. Financial support may be included as a line item in the grant application. Training will be provided by Lake County Community Development upon request. Identify in the application how your organization relies on incoming and/or outgoing referrals and how many staff are involved with the referral process. If adoption is not practicable, provide a clear explanation in the space provided.
- demonstrate that funding contributes to an expansion of services and not just a subsidization of existing services.

### Minimum/maximum amount of requests

- There are no minimum/maximum limits on grant request amounts.

### Match/Leverage

- There are no matching requirements although matching funds will strengthen an application's score.

## Lake County Video Gaming Fund Scoring Criteria

### *Community Impact*

**Community Need (0-60 points)** - Reviewers will score this category based on the overall impact the proposed program would have in addressing an identified community need. Reviewers will evaluate whether the proposed program is needed by considering the prevalence of similar programs in the community and the number of people to be served.

1. **Assessment, education and outreach for gambling addiction (60 pts.)**
2. **Clinical gambling addiction services (45 pts.)**
3. **Non-clinical gambling addiction services (30 pts.)**
4. **Other behavioral health services (15 pts.)**

**Financial Need (0-20 points)** - Reviewers will score this category based on the criticality of the requested funds for the organization's finances.

**Overall Impact (0-15 points)** This score is based on the likelihood that a client living anywhere in Lake County's geography would use the program's services.

**Outcome (0-10 Points)** - The reviewers will score this section based on how well the outcome is written for the proposed program. The application should include a client-based outcome that identifies benefits or changes for individuals or populations as a direct result of participating in the program. The outcome should be focused, measurable, meaningful, specific, attainable, and identify a change in clients' knowledge, attitude, values, skills, behavior, and/or condition. The long-term effects should reflect a general benefit to the community.

### *Program Quality*

**Program Design (0-30 points)** - The reviewers will score this section based upon how well the program is expected to efficiently and effectively accomplish its proposed program outcomes. The reviewer may consider whether the program follows a proven model, whether the design seems reasonable, and whether the program has sufficiently prepared to overcome obstacles.

The reviewer will also evaluate the level to which the program is able to collaborate with other agencies in the community. Stronger programs share their resources with others and similarly benefit from collaboration as well.

The reviewer will also consider how well the program is able to follow-up with their clients' progress, assess their levels of satisfaction and provide adequate referrals if further intervention is needed. Programs should be prepared to prevent further escalation of clients' problems.

**Staffing and Facilities (0-20 Points)** - The reviewer will score this section based on the program management and the institutional knowledge of the agency and program by considering staff's levels of experience and training, availability in full-time positions, and staff turnover. The reviewer will consider how well the agency is equipped to run the program successfully and how accessible their facility is to people with disabilities.

## *Agency Capacity*

**Past Performance (0-30 Points)** - The reviewer will score this section based on the overall history of the program and/or agency in successfully achieving their outcomes and effectively providing services. The reviewer will assess the program's readiness and capacity to undertake the proposed activity. The reviewer will also consider staff reports regarding the agency's ability to successfully complete its application. If the agency has been funded in the past, reviewers will also take into account the performance in completing quarterly reports and vouchers in a correct, consistent, and timely manner.

**Agency Fiscal Management (0-20 Points)** - The reviewer will score this section based on the audit report, budgets, and financial assessments of the agency. Reviewers will evaluate the diversity and resilience of the various funding sources that support the agency and/or program and note the ratio of administrative and fund-raising costs to total expenses.

**Program Sustainability (0-20 Points)** - The reviewer will score this section based on the sufficiency of resources for the program and the likelihood of completing objectives within the program year. The reviewer will assess the organizational and fiscal viability of the program and agency in the near future. For programs seeking multi-year funding, reviewer will include the long-term funding outlook for the program.

# City of Waukegan CDBG Specific Instructions

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## Waukegan CDBG applicants must:

- be either units of government, public not-for-profit entities or private not-for-profit entities;
- serve primarily residents from Waukegan with the funds provided;
- answer to Waukegan's Stakeholder Participation Panel (SPP)

## Minimum amount of requests

- Minimum \$5,000

## Estimated Funds Available - Contingent on 2019 HUD Budget

- Estimated \$120K

## Match/Leverage

- 25% of the grant amount must be complemented with matching funds

## Application Process

Because CDBG funding is limited, each application is scrutinized, and grants are awarded based on the proposal's ability to address the identified priority needs (detailed in the Consolidated Plan and Annual Action Plans), how the proposal fits into the City's overall comprehensive plans, the proposal's logic and merit, qualifications of the applicant, past performance with CDBG grants, compliance with Federal regulations and other appropriate factors. **Funding is not guaranteed to any agency.** Past receipt of a CDBG grant does not guarantee, nor should it be interpreted as a commitment of ongoing financial support. Applicants should seek out as many different funding sources as possible and not become largely dependent upon CDBG dollars. Minimum leverage amount is 25% of the total grant amount. Highly leveraged projects are viewed favorably and strongly encouraged. **Applications for Waukegan Public Service activities must be for a minimum of \$5,000.** Applications not meeting the criteria listed above will not be considered for funding.

After the initial approval process has been completed, all applicants will be notified in writing of their status. Once CDBG funds are available successful applicants will receive subrecipient agreements that specify special grant conditions and terms. Agreements must be signed prior to initiation of the project or any release of funds. No project costs may be incurred prior to CDBG authorization. Projects may not begin prior to notification from the City of Waukegan that funds are available. Projects cost are reimbursable from the beginning of program period (May 1); however, not billable until notification of funding availability. All funds will be released on a schedule established by CDBG. CDBG staff reserves the right to monitor all subgrantee files related to funded projects. Subgrantees are expected to keep complete, accurate and current records for these projects. Quarterly reports will be submitted on a schedule established by CDBG but not less than once each quarter.

The Waukegan Community Development Block Grant office reserves the right to reject any or all applications received and to negotiate or to cancel, in whole or in part, any application or grant award. Costs incurred in the preparation of applications are not reimbursable under this program nor may they be included as project leveraging.

**Applications will be accepted from nonprofits and government agencies whose programs have been in operation for at least one year.** Departments of the City of Waukegan shall be considered individual units of government for application purposes and are eligible to apply on their own



behalf. This program is designed to fund programs or activities that benefit Waukegan residents and will be undertaken by local organizations. CDBG funds are not intended to be used as a source of general operating funds for any organization.

## Application Information

Agencies may only submit one application for funding to Waukegan CDBG each year. Collaboration between agencies is strongly encouraged. The ability of applicants to partner with other applicants (either in one application or each agency submitting their own) helps our resources to go further within our community. We define collaboration as an actual team approach, not just a referral system.

Applicants addressing the identified need areas of youth services, senior services, basic needs services (food, shelter, etc.), and transportation will be considered (based on other criteria and qualifications) before those meeting other need areas.

For projects that provide services to clientele from both Waukegan and other communities, the applicant must be able to document the total number of clients served and the number who reside in Waukegan. In addition, the percent of benefit to clients from Waukegan must be equal to or greater than the percent of project costs funded by CDBG.

Any entity or organization with a religious affiliation must provide a statement of the religious influence on the provision of the program/project/activity for which funds are requested. Funds may not be used for any activities of a religious nature or activities with religious components.

**It is required that applicants submit a letter of intent and attend all training and orientation sessions.** The letter of intent helps staff begin to schedule review panels and applicant presentations. Training sessions are intended to provide answers to general questions and to help explain the application. Applicants tend to be much more successful after attending a training session. Please respect RSVP requests for training sessions. Materials are not guaranteed and may not be available for those not registered.

CDBG staff is available during regular business hours to provide technical assistance to any applicant. We are available to answer both general application questions and questions specific to the project for which you are completing an application. If you wish to make an appointment, it is recommended that you schedule early in the process to allow sufficient time to complete the application and not take the chance of running out of time to complete the application. Depending on staff schedules, appointment times may fill quickly. If you make a technical assistance appointment, please be sure you have read the application and have prepared specific questions.

Individual technical assistance appointments with Waukegan CDBG staff can be made by calling 847.599.2530, Monday through Friday, 8:00 a.m. to 5:00 p.m. Technical assistance is not designed to replace application orientation; but rather, for additional clarification and follow-up questions.

All applications must be complete, demonstrate administrative capacity of the applicant to conduct the activity, address a stated priority and meet a National Objective and eligibility requirements as described. Applications not meeting these criteria will not be considered for funding.

Application instructions should be followed exactly. All requested information must be included. If an item does not apply, please make a statement as to why the item is not applicable; otherwise, the application will be considered incomplete. Applications must be typewritten. Be sure to include the section heading and the number of the question with each answer, and answer every question.

Applicants must submit one original (with original signature in ink, preferably blue) and 10 complete copies of the application.

No application revisions or additions will be allowed after the stated deadline. Allow sufficient time to complete the application and have it double checked by another member of your staff prior to submission. **No applications will be accepted after the stated deadline, regardless of circumstances.**

## Eligible Activities

Activities carried out with block grant funds include those items listed in the Consolidated Plan as priority needs for the Community Development Block Grant Office. Types of activities that are generally ineligible include: buildings for the general conduct of government, general government expense, political activities, purchase of construction or fire protection equipment, purchase of furnishings and personal property, operating and maintenance expenses for public facilities, income payments and construction of new housing and other facilities offering 24-hour care (except as allowed by 1990 Housing Act amendments). In addition, in accordance with First Amendment Church/State principles, as a rule, CDBG assistance may not be used for religious activities. Funds may not be used for any activities of a religious nature or with religious components. *Waukegan CDBG will not fund an agency's general operating or equipment purchase costs. Expenses must be linked with a particular activity.*

## National Objectives

All public service projects funded with Waukegan CDBG funds must meet the CDBG National Objective of Benefit to Low Income Persons [Extremely Low (0 -30% of median income), Low (31-50%), and Moderate Income (51-80%)]. This benefit can take place either as an Area Benefit Activity or as a Direct Benefit Limited Clientele Activity.

*Area Benefit Activities* serve areas delineated by the applicant where a majority of the residents are low-income persons. Such areas can be documented through either of two methods: 1) Census Block Groups in the delineated area are defined by the most recent U.S. Census as containing more than 51% low income residents, or 2) An approved income survey in the delineated area finds more than 51% of the residents to be at or below the HUD-defined current low-income levels. In determining whether an activity will benefit low-income persons, the net effect of the completed activity shall be considered. Mere location of an activity in a low-income area, while generally a primary consideration, does not conclusively demonstrate that the activity benefits low income persons.

*Direct Benefit Limited Clientele Activities* are those that benefit a limited clientele, at least 51% of whom are low-income persons. To qualify under this paragraph, the activity must meet one of the following tests: 1) Benefit a clientele presumed by HUD to be principally low income persons (groups meeting this criterion are: abused children, battered spouses, elderly persons, disabled persons, homeless persons, illiterate persons and migrant farm workers); 2) Require information on family size and income so that it is evident that at least 51% of the clientele are persons whose family income does not exceed the low income limit; 3) Have income eligibility requirements that limit the activity exclusively to low income persons; or 4) Be of such nature and be in such location that it may be concluded that the activity's clientele will primarily be low income persons.

## Funding Philosophy

The CDBG staff and Stakeholder Participation Panel (SPP), its citizen group, have developed the following funding philosophy for Waukegan's CDBG Program:

Certain areas of Waukegan are designated as being CDBG-eligible. This designation is based on Census data which shows Block Groups within certain Census Tracts to have residents, at least 51% of whom are

low-income. Benefit to low-income persons is one of the National Objectives, which each CDBG project must meet. Of the 81 Block Groups within Waukegan city limits most of them are income-eligible.

There is a pervasive opinion (shared by the U.S. Department of Housing and Urban Development) that the targeting of assistance to certain designated areas can cause drastic improvements within neighborhoods, both to the specific projects and activities being funded, and to other aspects of the neighborhoods. For example, it is often seen that, when housing rehabilitation assistance is provided to one home, the neighbors try to improve the appearance of their properties, as well. It stands to reason then, that if facilities improvements, social services and housing improvements were made to specific areas at the same time, the net effect of the improvements within a neighborhood would be exponentially greater than the individual efforts themselves. It is expected that the targeting and concentration of activities in designated areas will not only benefit the direct recipients of assistance, but the community as a whole.

Funding priority will be given for eligible projects (meeting all other criteria for funding) that serve residents of the income-eligible areas of Waukegan, particularly those projects that take place within those areas. Projects may be either Area Benefit activities or Direct Benefit Limited Clientele activities, but clientele should be the residents of the designated areas.

All projects will also be required to provide a minimum of 25% of the grant amount as leverage or match. This match must be monetary, and sources must be identified. In-kind contributions (with monetary value specified) may be included as additional leverage, above and beyond the required 25%. Costs incurred in preparation of applications for funding are not allowable as leverage.

Some factors (in no particular order) that will be considered in selecting projects to be funded include:

- How well does the proposal address the identified priority needs (detailed in the Consolidated Plan and Annual Action Plans)?
- How does the proposal fit into the city's overall comprehensive plans?
- Does the proposal have logic and merit?
- What are the qualifications of the applicant?
- What is the applicant's past performance with this project and with CDBG?
- Is the project in compliance with Federal regulations?
- What is the quality of proposed outcomes? Are they meaningful, reasonable, measurable and attributable to the proposed project?
- Does it address areas of greatest need?
- Does it consider what the clients want in terms of outcomes?
- Is there consultation and collaboration with other agencies?
- Does it include agency investment in working specifically with residents?
- Does it address more than one community need?