

**Community and Economic Development
Planning and Technical Assistance (PTA)
Activity**

**Maximum Award:
Up to \$100,000 Total**

Maximum of Two PTA Studies Per Application

2013 CDBG APPLICATION

Planning & Technical Assistance (PTA) Activity – Instructions

TABLE OF CONTENTS

Each activity section begins with an activity-specific Table of Contents which:

- Must be completed and submitted as the first page of the activity-specific forms and documentation.
- Provides the order in which each activity application must be organized and submitted.
- Provides a checklist to ensure that all required activity-specific documentation is included in the application.

>>Refer to NOFA for additional information<<

This is the application for Planning and Technical Assistance (PTA) grants, and contains instructions for preparing and submitting an application for PTA Activities for either the Economic Development (ED) or Community Development (CD) allocations, or both, with one or two proposed studies.

No more than two planning studies may be funded under this grant agreement, not to exceed a total of \$100,000.

INSTRUCTIONS FOR PLANNING OVERVIEW FORMS

1. **Allocation Selection:** Check the boxes to indicate the Allocation(s) for which you are applying and the number of planning studies.
2. **Activity Titles and Funding Requested by Activity:** List a planning activity title for each activity being applied for, and specify if it's an ED activity or CD activity.

In the far right column of this *Requested Funding by Activity* table, show the amount of funds being requested for each planning activity. Show total funds being requested (up to \$100,000), including all activities and general administration, in the box marked Grand Total Amount Requested.

Note: In the NOFA, under Eligible Activities, item H, the eligible uses of PTA funds is discussed. Please know that grant writing/application development is **not** an eligible use of CDBG PTA funding. The Department strongly urges all applicants to review this information to be sure that all PTA funding being applied for is eligible.

>>See Appendix Q for examples of planning activity titles.<<

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Note: *There is no longer a need to distinguish between “Project Specific” and “Non-Project Specific” planning activities. Maximum PTA award limit will be \$100,000. No more than two studies per application, and may include either: (a) two CD studies; (b) two ED studies; or, (c) one of each.*

3. **List of Cash Match Sources:** The required cash match for all applicants under the 2012 NOFA is 5% of the Grand Total Amount Requested in question 2. In the left column, enter the amount of cash match required for the amount of funds requested. In the middle column, state the source of these funds. In the right column, enter the amount of match funds (approved by Resolution) that the applicant will provide. Applicants will be required to provide proper back up documentation to prove the source and amount of all matched funding, as well as a certified copy of the Resolution.

Total all funds in the right column at the bottom of the chart to show the total match contribution of all sources. This amount must be equal to or greater than the minimum required 5% amount. **Note:** *Applicants are allowed to commit additional cash match above the minimum required 5%, however, all cash match must be spent prior to drawing down any grant funds from the Department.*

Note: *Program Income (PI) funds cannot be used for Cash Match. See Appendix K for more information about the cash match requirement.*

4. **Target Populations Served:** Indicate any target populations that will be assisted should an implemented activity come from one or more of the proposed planning activities.
5. **Beneficiaries Served:** Based on the activity and accomplishment type in the left column, place appropriate number(s) in the far right column of the chart. The number indicates the potential number of beneficiaries for each proposed activity in the application (i.e., if the activity is a waste water treatment plant expansion study, estimate of the number of housing units that would be served if the plant is expanded).

INSTRUCTIONS FOR PLANNING ACTIVITY DESCRIPTION FORMS

The following instructions apply to all Planning Activity Description forms for both ED and CD allocation activities.

Applicants must submit separate Planning Activity Description Forms and Budget Charts for each proposed planning activity.

1. **Allocation:** Place an X to indicate if the activity is for ED or CD allocation.

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2. **Activity Title:** Enter the specific name for the study (plan title). This will also be the name and subject of the final product.
3. **Activity Funds Requested:** Enter the total amount of funds requested for the proposed activity.
Note: There is no Activity Delivery funding for PTAs.
4. **National Objectives:**
 - A. **Which National Objective?** Check **one** box that indicates whether the planning activity will meet the National Objective of Low/Mod Benefit or Elimination of Slums and Blight. For Slums and Blight, include the required narrative description, and page location of documentation.
 - B. **How will the National Objective be met?** For Low/Mod Benefit, check the appropriate boxes describing how the proposed planning/study activity will meet the HUD National Objective. For activities that are providing Low/Mod Area Benefit, where income surveys or HUD Low/Mod census data must be used to document Low/Mod Benefit, those survey documents or census charts must be attached to this set of forms, even for jurisdiction-wide studies. For activities that are meeting the Slums and Blight National Objective, applicants must provide documentation of area blight or spot blight, and attach those documents with this set of activity forms. Complete documentation requirements for meeting HUD national objectives for Low/Moderate-Income or Slums and Blight can be found in **Appendix I**.
5. **Public Benefit (for ED PTA activities only):** Describe how many jobs may be created or retained. Describe how the proposed study activity facilitates this job creation or retention.
6. **Activity Description:** Provide the following information on this form (use additional pages if necessary). Required activity information:
 - A narrative explaining the need for the study.
 - A detailed description of what the study is and how it will be conducted.
 - If studying a particular proposed project, include the proposed project's scope of work. Include a description of the project's location, what services it will offer to the community, and a timeline for development of the study.
 - Describe how the results of the proposed study would be used if the program or project contemplated by this study were to be implemented.

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7. **Final Product Description:** Applicant must provide a detailed description of the final product or products that will be created from the planning activity. For example: financial feasibility study, preliminary engineering or architectural plans, phase one environmental site assessment, NEPA and CEQA reviews, final plans and specifications for projects, payment of project development costs (fees, acquisition, construction). If this is a project specific planning activity, state when the project implementation could begin and when the project would be expected to be completed.

As noted in the NOFA: *Grant writing, including ED OTC grant writing, is not an eligible use of PTA funding*

Further, *the application must document* that the work-product to be produced by the PTA award **will** meet a national objective (see the National Objective Matrix in Appendix I). The Department will evaluate each PTA for eligibility based on the Application's supporting documentation confirming the PTA will meet a National Objective.

If awarded, the work-product produced by the PTA award **must:**

- A. Be consistent with the work product applied for in the PTA application; and,
- B. Be submitted to the Department at time of grant closeout.

If the work-product produced by the PTA grant is not consistent with the work-product approved in the original application and as described in the contract: (1) does not meet a national objective; or, (2) is not submitted at the time of grant closeout, *the activity may be deemed ineligible and the funding shall be returned to the Department.*

Grant writing may be funded through a jurisdiction's General Administration (GA) funding; **however, CDBG GA can only be spent on preparing CDBG applications.**

Note: *Some planning activities may involve both CD and ED components. For example, a city-wide wastewater master plan could be done under the Community Development Allocation and/or under the ED Allocation. If this is the case, also provide justification of why the grantee is applying under both allocations. Do not double count costs on budget charts.*

8. **Cost Reasonableness Documentation:** Attach documentation showing cost reasonableness for the proposed planning study, and indicate the pages where the documentation can be found. Examples of appropriate documentation are invoices from past planning studies, response list to past RFPs for planners, estimates of time required to complete study and per hour consultant costs, previous invoices for

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the various components going into the study (such as preliminary design plans), or estimates of in-house staff hours and costs to prepare similar studies.

Note: Applications with funding requests found by the Department to be excessive for the type of study proposed may have their funding award limited to a more appropriate amount.

ADDITIONAL INFORMATION FOR ECONOMIC DEVELOPMENT (ED) STUDIES

9. **Assistance to For-Profit Businesses:** If a jurisdiction is using PTA funds for direct assistance to a for-profit business, the application **must include: (a) the business' DUNS number; and, (b) letter from the business that:** (i) explains why the business is unable to provide funding for the activity; and (ii) conditionally commits the business to proceeding with the activities that are the subject of the grant.

10. **Requirements for a Local Economic Development Plan:** Applicants requesting funds for developing or updating a local Economic Development Plan (EDP) are encouraged to contact their Program representative. Completed EDP's can be used in future State CDBG Enterprise Fund applications to make the jurisdiction's funding proposal more competitive, and also to provide a strategy for expending State CDBG Enterprise and Microenterprise funding under open grants and under local PI business assistance revolving loan accounts.

ACTIVITY BUDGET CHART – SCHEDULE 1

State CDBG funds used to pay for general administration reporting costs and general administration reporting tasks are not shown on these charts. Cash Match amounts and tasks must be shown on these charts and must indicate that cash match funds will be spent first.

A separate chart must be completed for each proposed study to go along with the activity description form for the study.

Schedule 1 - Activity Budget Chart

1. Enter the activity name in the box at top left of the form.

2. Enter each major task in completing the activity, showing cash match tasks first at the top of the List of Tasks.

3. Enter a breakout of hours, hourly rate and cost (hourly rate multiplied by hours) for work to be completed by both the jurisdiction staff and/or contractor.

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4. For the local cash match and other funds being used on the study, please enter the amounts and provide a total line item cost in the last column on the right.
5. Enter totals for each column and double check to ensure numbers add properly.

Remember to submit separate *Activity Description Forms* and *Budget Chart* for each proposed activity.

The Department reserves the option of revising cost items shown in budget chart. The use of State CDBG PTA funds for activities that are already funded by other programs or agencies or by current or prior PTA grants will only be deemed reasonable if sufficient documentation is included in the application to support the requested State CDBG funds.

Note: State CDBG staff cannot approve any funds requests until grantees have provided satisfactory evidence through State CDBG Financial and Accomplishment Report (FAR) forms showing cash match expenditure requirements have been met.