



# UNION COUNTY

COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM



2020 Annual Action Plan

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*The 2020 Annual Action Plan is presented to you in a format that is prescribed by HUD. Data and narrative are entered into a federal database system called the Integrated Disbursement and Information System (IDIS) and the Annual Action Plan report is then downloaded into a Word format. The Annual Action Plan template in IDIS has a series of prescribed questions that align with the CDBG Consolidated Plan program regulations. The report you are reviewing is the result of that data entry process and is the prescribed and recommended format by HUD. If you have any questions about this format, please do not hesitate to contact Michael James at [patrick.niland@unioncountync.gov](mailto:patrick.niland@unioncountync.gov). Thank you for your interest and time spent reviewing this report.*

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Union County

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# Executive Summary

## AP-05 Executive Summary - 24 CFR 91.200(c), 91.220(b)

### 1. Introduction

The 2015-2020 Consolidated Plan describes community needs and determines local priorities for using public resources to assist low- and moderate-income residents in Union County and the City of Monroe and the Towns of Waxhaw, Weddington, Wingate and Stallings. It sets forth a five-year strategic plan consisting of actions and goals to address community needs. The success of the plan depends on the participation of member local governments in the collaborative implementation of the strategies. The Union County Manager's Office is the Lead Agency responsible for planning, coordination, and reporting.

As an entitlement community, Union County will receive an annual share of federal CDBG funds. In order to receive its CDBG entitlement funding, the County must also submit an Annual Action Plan to HUD. The Annual Action Plan describes the funding levels and activities to be undertaken during the individual upcoming program year for the CDBG program to address the priority needs and objectives as outlined in the Consolidated Plan. The 2020 Annual Action Plan (2020AAP) (Union County's FY 2020-2021) is the funding application for CDBG funds in the amount of \$881,099 and includes information on the projects approved by Union County, to be implemented in the 2020 program year.

### 2. Summarize the objectives and outcomes identified in the Plan

The goals and outcomes identified in this Action Plan are taken from the Consolidated Plan's Strategic Plan which describes how federal funds and other resources will be deployed and what other actions will be taken to address community development and affordable housing needs over the next five years. This year, projects funded support the goals of "Improving Public Facilities and Infrastructure" and "Support Delivery of Public Services."

### 3. Evaluation of past performance

This is an evaluation of past performance that helped lead the grantee to choose its goals or projects.

At the end of each program year, the County is required to submit a Consolidated Annual Performance Evaluation Report (CAPER). The CAPER summarizes the accomplishments made that specific program year and the progress made towards the goals established in the Consolidated Plan.

During Program Year 2019 the following projects/activities were completed and met their required goals.

- Completion of the Wingate Evans Street Waterline Improvement Project- allowing improved access to water services for residents, impacting 1,520 low to moderate income residents.
- Completion of the Wingate Old Highway 74 Waterline Improvement Project- allowing improved access to water services for residents, impacting 2,680 low to moderate income residents.
- Completion of the Wingate Faculty Street Waterline Improvement Project- allowing improved access to water services for residents, impacting 2,680 low to moderate income residents.
- The City of Monroe, Concord Avenue Sidewalk Project began completion of acquisition of right of way and easements needed to finalize designs and is projected to bid the project for construction in Fall 2020.

For more detailed information on past performance and detailed outcomes for the past projects the Consolidated Annual Performance and Evaluation Report is available upon request.

#### **4. Summary of Citizen Participation Process and consultation process**

Guided by Union County’s Citizen Participation Plan outreach included a public forum for the general public and consultation with public and private agencies and organizations to capture public input. Public and private consultation included elected and appointed government officials, neighborhood organizations. Two public forums were held during the planning and development of the 2020AAP. One held February 12, 2020 during the initial stage of program development to discuss items regarding community development and housing needs, the CDBG program, and the application process. The second held on April 15, 2020, prior to the submission of the 2020AAP to HUD for CDBG Entitlement funding. The primary purposes of this public forum/hearing was to assess community needs and problems in an effort to determine the most critical needs to be addressed by the CDBG program; and also to present for public comment and review the program activities which have been selected by Union County to resolve the identified needs.

#### **5. Summary of public comments**

No comments were received.

#### **6. Summary of comments or views not accepted and the reasons for not accepting them**

N/A

## **7. Summary**

Union County will continue to receive annual CDBG allocations to benefit the low- and moderate-income residents in the community. CDBG projects recommended for funding for the 2020 program year meet a priority goal and objective identified in the 2016-2020 Consolidated Plan. Union County will evaluate past performance and make adjustments in the future to better serve the needs of the community. Residents and providers will continue to be informed and invited to participate in the CDBG process to ensure projects meet the community needs. Union County will continue to affirmatively further fair housing through the projects selected for funding, and address the impediments outlined in the Analysis of Impediments to Fair Housing Choice.

## PR-05 Lead & Responsible Agencies – 91.200(b)

### 1. Agency/entity responsible for preparing/administering the Consolidated Plan

Describe the agency/entity responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

Agency Role	Name	Department/Agency
CDBG Administrator	UNION COUNTY	County Manager's Office

Table 1 – Responsible Agencies

### Narrative (optional)

The County Manager’s Office is the lead entity charged with preparing the Consolidated Plan, the Annual Action Plan and the Consolidated Annual Performance and Evaluation Report (CAPER). In this capacity, the County works in cooperation with other key government agencies, non-profit agencies and for-profit agencies addressing affordable housing, and other community development issues. Collaborative partnerships with key stakeholders are indispensable to the community’s success in addressing the needs of low and moderate-income residents and improving the quality of life for all the residents. These partnerships help to ensure that all residents, regardless of race, gender, age, income level or disability, have equal access to affordable housing, community development resources, jobs and services available in the County.

### Consolidated Plan Public Contact Information

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## AP-10 Consultation – 91.100, 91.200(b), 91.215(l)

### 1. Introduction

Union County recognized that the preparation of the Annual Action Plan requires discussion and consultation with many diverse groups, organizations, and agencies. During the planning process for the Annual Action Plan, the County encouraged citizen participation. While preparing this document, County staff and the County’s consultants met with service providers, community groups, nonprofit agencies, and municipalities within the County that have chosen to participate in the CDBG program, to discuss and gather input on the community development needs identified in the County.

**Provide a concise summary of the jurisdiction’s activities to enhance coordination between public and assisted housing providers and private and governmental health, mental health and service agencies (91.215(I))**

To be inclusive of various agencies and organizations, the County compiled an outreach list that included the following agencies:

- Nonprofit service providers that cater to the needs of low and moderate-income households and persons with disabilities or special needs.
- Housing professionals.
- Public agencies.
- Economic development and employment organizations.
- Government staff of participating jurisdictions.
- Community and neighborhood groups.

**Describe coordination with the Continuum of Care and efforts to address the needs of homeless persons (particularly chronically homeless individuals and families, families with children, veterans, and unaccompanied youth) and persons at risk of homelessness.**

Union County is not a Continuum of Care County; rather local providers are members of the North Carolina Balance of State Continuum of Care. The regional committee is the Piedmont Regional Continuum of Care (PRCC) which encompasses five counties, including Union County. The Union County Community Shelter is the lead local Coordinating Agency for Union County. The PRCC recently developed a regional homeless strategy, which was utilized in this planning process to provide information on homelessness and resources available within Union County. Union County Community Shelter was consulted, in order to gather information and data on the County’s Continuum of Care efforts.

**Describe consultation with the Continuum(s) of Care that serves the jurisdiction's area in determining how to allocate ESG funds, develop performance standards for and evaluate outcomes of projects and activities assisted by ESG funds, and develop funding, policies and procedures for the operation and administration of HMIS**

Not applicable; the County currently does not receive ESG funding. The Union County Community Shelter is a direct recipient of ESG funds.

**2. Describe Agencies, groups, organizations and others who participated in the process and describe the jurisdiction’s consultations with housing, social service agencies and other entities**

**Table 2 – Agencies, groups, organizations who participated**

<b>1</b>	<b>Agency/Group/Organization</b>	<b>Town of Marshville</b>
	<b>Agency/Group/Organization Type</b>	Other government - Local
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Market Analysis Economic Development Anti-poverty Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	This member government was consulted regarding the full spectrum of community development needs within their jurisdiction.
<b>2</b>	<b>Agency/Group/Organization</b>	City of Monroe
	<b>Agency/Group/Organization Type</b>	Other government - Local
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Market Analysis Economic Development Anti-poverty Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	This member government was consulted regarding the full spectrum of community development needs within their jurisdiction.
<b>3</b>	<b>Agency/Group/Organization</b>	Town of Waxhaw
	<b>Agency/Group/Organization Type</b>	Other government - Local
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Market Analysis Economic Development Anti-poverty Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	This member government was consulted regarding the full spectrum of community development needs within their jurisdiction.
<b>4</b>	<b>Agency/Group/Organization</b>	Town of Wingate
	<b>Agency/Group/Organization Type</b>	Other government - Local
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Market Analysis



		Economic Development Anti-poverty Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	This member government was consulted regarding the full spectrum of community development needs within their jurisdiction.
<b>5</b>	<b>Agency/Group/Organization</b>	Town of Weddington
	<b>Agency/Group/Organization Type</b>	Other government - Local
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Market Analysis Economic Development Anti-poverty Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	This member government was consulted regarding the full spectrum of community development needs within their jurisdiction.
<b>6</b>	<b>Agency/Group/Organization</b>	Town of Stallings
	<b>Agency/Group/Organization Type</b>	Other government - Local
	<b>What section of the Plan was addressed by Consultation?</b>	Housing Need Assessment Market Analysis Economic Development Anti-poverty Strategy
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	This member government was consulted regarding the full spectrum of community development needs within their jurisdiction.

**Identify any Agency Types not consulted and provide rationale for not consulting**

The Annual Action Plan process provided an opportunity and invited participation and comments from all relevant organizations and agencies.

**Other local/regional/state/federal planning efforts considered when preparing the Plan**

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
<b>Continuum of Care</b>	Union County Community Shelter	Assist persons who are homeless or at risk of homelessness.
<b>Analysis of Impediments to Fair Housing Choice</b>	Union County	Affirmatively further fair housing.

**Table 3 – Other local / regional / federal planning efforts**

**Narrative**

All relevant providers in Union County were invited to participate in the planning process, that serve low and moderate-income persons. No agency was intentionally left out.

## AP-12 Participation – 91.105, 91.200(c)

### 1. Summary of citizen participation process/Efforts made to broaden citizen participation

Encouraging citizen participation and consulting with other public and private agencies are important parts of the planning process. The County used several methods to solicit citizen participation, including public notices, public meetings, public hearings and other outreach efforts. Information and comments received during this process helped to guide and shape the development of the Consolidated Plan goals. A copy of Union County's Citizen Participation Plan is available upon request.

### Citizen Participation Outreach

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons
1	Newspaper Ad	Non-targeted/broad community	A notice was placed in the local newspaper on January 30, 2020 notifying residents of the upcoming public hearing to discuss the development of the 2020 AAP.	N/A	N/A
2	Public Meeting	Non-targeted/broad community	A public hearing was held on February 12 to gain input from residents on the development of the 2020AAP. No one from the public attended the meeting.	None	N/A
3	Newspaper Ad	Non-targeted/broad community	A notice was placed in the local newspaper, on March 31, 2020 notifying local residents of an upcoming public hearing and the availability of the draft 2020AAP for a 30-day comment period.	N/A	N/A
4.	Public Meeting	Non-targeted/broad community	A virtual public hearing was held on April 15, 2020 to allow members of the community to provide comments on the 2020AAP. No one from the public attended the meeting.	None	N/A

## Expected Resources

### AP-15 Expected Resources – 91.220(c) (1,2)

#### Introduction

CDBG funds can be used for a wide range of activities, including housing rehabilitation, economic development, public improvements and social services, but are restricted in location to the unincorporated areas of Union County and participating Towns within the County. Anticipated resources have been determined through consultation with participating jurisdictions and local nonprofit organizations serving the program area.

#### Anticipated Resources

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
<b>CDBG</b>	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	881,099	0	0	881,099	0	

**Explain how federal funds will leverage those additional resources (private, state and local funds), including a description of how matching requirements will be satisfied**

Unlike some other federal grant programs, CDBG regulations do not require matching funds on behalf of the Grantee. While there are no federal match requirements for CDBG funds, Union County highly recommends that organizations provide matching funds, if possible. Match fund sources include contributions derived from other eligible federal and nonfederal sources and the value of third party in-kind contributions, (i.e. volunteers, personnel, office space, materials, equipment, and supplies). However, while matching funds are not required, applications do receive favorable scoring based on leveraging funds.

**If appropriate, describe publicly owned land or property located within the jurisdiction that may be used to address the needs identified in the plan**

Not applicable.

**Discussion**

Union County's 2020 Action Plan covers the time period from July 1, 2020 to June 30, 2021. The County's FY2020-2021 entitlement amount is \$881,099. While HUD's CDBG allocations are critical, they are not sufficient to overcome all barriers and address all needs that low-income individuals and families face in attaining self-sufficiency. The County will continue to leverage additional resources and partnerships to successfully provide support and services to the populations in need.

## Annual Goals and Objectives

### AP-20 Annual Goals and Objectives

#### Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Improve Public Facilities and Infrastructure	2016	2020	Non-Housing Community Development	Union County ETJ Wingate	Public Facilities and Infrastructure	CDBG: \$534,433	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 1030 Persons Assisted
2	Support Delivery of Public Services	2016	2020	Homeless Non-Homeless Special Needs	Marshville Monroe Union County ETJ Stallings Weddington Wingate Waxhaw	Public Services	CDBG: \$125,000	Public service activities other than Low/Moderate Income Housing Benefit: 80 Persons Assisted
3	Promote and Lead Intergovernmental Coordination	2016	2020	Affordable Housing Homeless Non-Homeless Special Needs Non-Housing Community Development	Marshville Monroe Union County ETJ Stallings Weddington Waxhaw	Intergovernmental Coordination and Cooperation	CDBG: \$221,576	Other: 1 Other Included administration and planning

Table 6 – Goals Summary

## Goal Descriptions

<b>1</b>	<b>Goal Name</b>	<b>Improve Public Facilities and Infrastructure</b>
	<b>Goal Description</b>	Provide and maintain accessible public utility systems (water/sewer) capable of accommodating and helping to direct future growth.
<b>2</b>	<b>Goal Name</b>	<b>Support Delivery of Public Services</b>
	<b>Goal Description</b>	Continue ongoing County support for community and supportive services, with special emphasis on code enforcement, services for the homeless, seniors, at-risk youth, the disabled, veterans and other persons with special needs.
<b>3</b>	<b>Goal Name</b>	<b>Promote and Lead Intergovernmental Coordination</b>
	<b>Goal Description</b>	General program management and coordination with member governments, an others within service area or potential service area.

# Projects

## AP-35 Projects – 91.220(d)

### Introduction

The 2020 Annual Action Plan describes how Union County will use formula funds from the U.S. Department of Housing and Urban Development (HUD) to meet the County’s community development needs in the fifth year covered by the 2016-2020 Consolidated Plan. It provides a summary of specific actions, activities, and programs that will take place during the upcoming program year to address the priority needs and goals identified in the Consolidated Plan. The Action Plan also includes annual allocations and budgets. The County Manager’s Office is responsible for developing and implementing the 2016-2020 Consolidated Plan, including its Annual Action Plans, in conjunction with partner municipalities.

### Projects

#	Project Name
1	FY21 Administration
2	Union County Senior Nutrition Program
3	Diane Lane Pump Station Replacement Project
4	Union County Highway 218 Water Main Extension Project
5	Volunteer Fire Department Support

Table 7 - Project Information

### Describe the reasons for allocation priorities and any obstacles to addressing underserved needs

Union County has made allocations for 2020AAP based upon the priorities of the 2016-2020 Consolidated Plan and citizen and community input.

Additional factors that contributed to targeting funds to specific activities are:

- The stated needs, analysis, and objectives in the 2016-2020 Consolidated Plan
- Compliance with HUD entitlement grants (CDBG) rules and regulations



## AP-38 Project Summary

### Project Summary Information

1	<b>Project Name</b>	FY21 Administration
	<b>Target Area</b>	County wide
	<b>Goals Supported</b>	Improve Public Facilities and Infrastructure Support Delivery of Public Services
	<b>Needs Addressed</b>	Public Facilities and Infrastructure Public Services Fair Housing
	<b>Funding</b>	CDBG: \$130,000
	<b>Description</b>	General program administration and planning.
	<b>Target Date</b>	6/30/2021
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	N/A
	<b>Location Description</b>	N/A
	<b>Planned Activities</b>	General administration and planning.
2	<b>Project Name</b>	Union County Senior Nutrition Program
	<b>Target Area</b>	Union County
	<b>Goals Supported</b>	Support Delivery of Public Services
	<b>Needs Addressed</b>	Public Service
	<b>Funding</b>	CDBG: \$125,000 Other: \$403,484
	<b>Description</b>	The Senior Nutrition (UCSN) program promotes, maintains, and improves the health and well-being of older adults through the provision of a nutritionally balanced meal five days per week.
	<b>Target Date</b>	6/30/2021

	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 495 LMI residents.
	<b>Location Description</b>	Meal sites are located in throughout Union County.
	<b>Planned Activities</b>	Provide meals and nutritional supplements to older adults.
3	<b>Project Name</b>	Diane Street Pump Station Replacement Project
	<b>Target Area</b>	Wingate
	<b>Goals Supported</b>	Improve Public Facilities and Infrastructure
	<b>Needs Addressed</b>	Public Facilities and Infrastructure
	<b>Funding</b>	CDBG: \$142,544
	<b>Description</b>	Replacement of a failing pump station with approximately 1,500 of outfall line.
	<b>Target Date</b>	9/30/2020
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 275 LMI residents.
	<b>Location Description</b>	Town of Wingate
	<b>Planned Activities</b>	Replacement of a pump station with outfall lines.
4	<b>Project Name</b>	Union County Highway 218 Water Main Extension Project
	<b>Target Area</b>	Union ETJ
	<b>Goals Supported</b>	Improve Public Facilities and Infrastructure
	<b>Needs Addressed</b>	Public Facilities and Infrastructure
	<b>Funding</b>	CDBG: \$326,890
	<b>Description</b>	Extension of approximately 5,500 linear feet of water main.
	<b>Target Date</b>	12/31/2020
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 1,030 LMI residents
<b>Location Description</b>	The project is located along Highway 218 from Dusty Lane on	

		the south side of Highway 218.
	<b>Planned Activities</b>	Extension of water main.
<b>5</b>	<b>Project Name</b>	Volunteer Fire Department Support
	<b>Target Area</b>	County wide, based on location of need.
	<b>Goals Supported</b>	Improve Public Facilities and Infrastructure
	<b>Needs Addressed</b>	Based on need and qualifying census block group
	<b>Funding</b>	\$65,000
	<b>Description</b>	This project may include acquisition of fire protection equipment that may include emergency vehicles, fire fighters' protective clothing, self-contained breathing apparatuses and other life-saving equipment that is integral to the fire protection facility.
	<b>Target Date</b>	06/31/2021
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Approximately 500 LMI residents within qualifying census block groups
	<b>Location Description</b>	County wide, based on location of need.
	<b>Planned Activities</b>	Purchase of safety equipment for volunteer fire departments

### **AP-50 Geographic Distribution – 91.220(f)**

#### **Description of the geographic areas of the entitlement (including areas of low-income and minority concentration) where assistance will be directed**

Union County is home to fourteen municipalities, six municipalities have chosen to participate in the CDBG program: Marshville, Monroe, Stallings, Waxhaw, Weddington, and Wingate. To the west are Waxhaw, Weddington, and Stallings. In the central and northern portions of the County are Monroe (the county seat), Wingate, and Marshville are located in eastern Union County.

Union County has not established specific target areas to focus the investment of CDBG funds. In terms of specific geographic distribution of investments, infrastructure improvements and public facilities will be focused primarily in areas with concentrations of low-moderate income population.

Allocations will be made using the rating scale for projects that consider several criteria:

- The severity of the need
- The availability of other funds to ensure project viability
- How the project met national CDBG objectives and goals
- How well the project addressed local needs
- How large the impact will be for residents, i.e. number of beneficiaries

### **Rationale for the priorities for allocating investments geographically**

Geography was not used to determine funding allocation priorities for the county. There are no blighted areas in specific geographical areas that have disproportionate needs. Allocations and use of funds are determined through a competitive application process open to all eligible organizations.

### **Discussion**

The County determined the best method to distribute funds was to limit programs to clients defined as very low-, low-, or moderate-income.

# **Affordable Housing**

## **AP-55 Affordable Housing – 91.220(g)**

### **Introduction**

Union County has identified affordable housing as a low priority for the CDBG program and recognizes that gaps do exist within the affordable housing realm. However, given the limited funds made available, projects with housing benefits will center on providing updated and new infrastructure and facilities to serve housing units across the County. Current institutional delivery systems with dedicated resources currently exist that provide for increasing and sustaining affordable housing units in Union County. Therefore, due to the limited CDBG funding, affordable housing projects will only receive CDBG funds if excess funds are available. As Union County lays the foundation for the CDBG program, it is anticipated in future Consolidated Plans, assistance may be available to support affordable housing initiatives.

### **Discussion**

The demand to live in Union County increases the pressure on the local housing market. One of the biggest challenges in the County is the huge disparity between housing costs and what individuals with low- and moderate-incomes can afford to pay. It is because of these factors that fostering and maintaining the existing supply of affordable housing continues to be of importance for the County. Union County will continue to develop policies that help foster the development of new affordable housing units. Additionally, Union County and its municipal partners will continue to support the efforts of local non-profit housing providers who carry out strategies to retain and create affordable housing options throughout the region.

## **AP-60 Public Housing – 91.220(h)**

### **Introduction**

Union County does not maintain nor support any public housing, the Monroe Housing Authority is the local entity with the sole responsibility for management and maintenance of public housing.

### **Actions planned during the next year to address the needs to public housing**

Not applicable.

### **Actions to encourage public housing residents to become more involved in management and participate in homeownership**

The Monroe Housing Authority offers a number of resident programs and supportive services designed

to foster self-sufficiency and improve quality of life. The Monroe Housing Authority also partners with a number of community organizations that provide resources to assist clients.

**If the PHA is designated as troubled, describe the manner in which financial assistance will be provided or other assistance**

Not applicable.

**AP-65 Homeless and Other Special Needs Activities – 91.220(i)**

**Introduction**

Homeless prevention resources are available in Union County, however, are concentrated within the City of Monroe. The resources available fall short of providing adequate services to meet the growing needs of both the emerging homeless population and residents who are at risk of becoming homeless. While gaps do exist, there are strong non-profit organizations working in coordination to ensure this population is served.

**Describe the jurisdictions one-year goals and actions for reducing and ending homelessness including reaching out to homeless persons (especially unsheltered persons) and assessing their individual needs**

The County will continue to work with and support the Piedmont Regional Continuum of Care, to reach the local homeless populations and assess their needs and identify resources to support the need.

**Addressing the emergency shelter and transitional housing needs of homeless persons**

Union County does not receive federal funding nor carry out shelter activities. Local non-profit organizations operate shelters and are working to find ways to obtain much needed resources to expand shelter space and homeless prevention programs.

**Helping homeless persons (especially chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth) make the transition to permanent housing and independent living, including shortening the period of time that individuals and families experience homelessness, facilitating access for homeless individuals and families to affordable housing units, and preventing individuals and families who were recently homeless from becoming homeless again**

Homeless needs are addressed in the community through other organizations, including but not limited to the Union County Community Shelter. Union County also has representation on the Piedmont Regional Continuum of Care.

**Helping low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families and those who are: being discharged from publicly funded institutions and systems of care (such as health care facilities, mental health facilities, foster care and other youth facilities, and corrections programs and institutions); or, receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs.**

The Union County Community Shelter and Community Link operate several programs that provide support to people who are homeless or at-risk of homelessness. Their work includes a focus on several special populations, such as veterans and people with a serious mental illness. The services provided through these programs include:

- Adult Emergency Shelter
- Emergency Family Shelter
- Soup Kitchen
- Hope Pantry
- Amazing Grace Program for Seniors
- Case Management
- Homeless to Rental Housing
- Travelers Aid for those recently released from jail
- Homeless to Housing for Veterans
- Homeownership Programs

## **Discussion**

The Piedmont Regional Continuum of Care has developed a Regional Committee Plan that details a systematic approach for providing referrals to support resources to ensure clients are connected to community services that will assist them in addressing their current housing needs. This includes stabilizing housing for persons with developmental disabilities and providing transportation.

## **AP-75 Barriers to affordable housing – 91.220(j)**

### **Introduction:**

The main obstacle facing Union County in meeting underserved needs is a lack of funding. While CDBG funding is an invaluable resource the needs outweigh the program's capacity to meet the existing needs. Further, many local service providers are also challenged to align sufficient resources to meet the County's growing needs. The County plans to address this obstacle by continuing to look for new funding sources and find creative ways to leverage and utilize existing funding. Additionally, the County will encourage collaboration amongst itself, other jurisdictions, and non-profits.

**Actions it planned to remove or ameliorate the negative effects of public policies that serve**

**as barriers to affordable housing such as land use controls, tax policies affecting land, zoning ordinances, building codes, fees and charges, growth limitations, and policies affecting the return on residential investment**

The demand to live in Union County increased the pressure on the County's housing market. One of the biggest challenges in the County is the huge disparity between housing costs and what people with low and moderate incomes can afford to pay. It is because of these factors that fostering and maintaining the existing supply of affordable housing continues to be a priority for the County. Union County will continue to develop policies that help foster the development of new affordable housing units. Additionally, Union County and its municipal partners will also continue to support the efforts of local housing providers who carry out strategies to retain and create affordable housing options throughout the County.

**AP-85 Other Actions – 91.220(k)**

**Introduction:**

This section discusses Union County's and area non-profit's efforts in addressing the underserved needs, expanding and preserving affordable housing, reducing lead-based paint hazards, and developing institutional structure for delivering housing and community development activities.

**Actions planned to address obstacles to meeting underserved needs**

The County will continue to work with area agencies, the Piedmont Regional Continuum of Care agency, and other public and governmental agencies to find solutions that leverage the resources available and to efficiently and effectively meet program goals.

Whenever possible, the County will work to leverage CDBG funds and continue to work to identify additional opportunities.

**Actions planned to foster and maintain affordable housing**

The demand to live in Union County increases the pressure on the County's housing market. One of the biggest challenges in the County is the huge disparity between housing costs and what people with low- and moderate-incomes can afford to pay. It is because of these factors that fostering and maintaining the existing supply of affordable housing continues to be a priority for the County. Union County will continue to develop policies that help foster the development of new affordable housing units. Additionally, Union County and its municipal partners will also continue to support the efforts of local non-profit housing providers who carry out strategies to retain and create affordable housing options throughout the region.



### **Actions planned to reduce lead-based paint hazards**

Union County ensures the reduction of adverse health effects on area residents caused by rehabilitation of lead-based paint surfaces by providing educational materials to all housing contractors and citizens receiving housing rehabilitation assistance. The Union County Children's Environmental Health Childhood Lead Prevention Program protects and improves the health of children from the harmful effects of lead through the implementation of the North Carolina Rules Governing Lead Poisoning Prevention in Children, 15A NCAC 18A .3100. Union County Children's Environmental Health coordinates and assists in the environmental investigation of a child who has lead poisoning.

### **Actions planned to reduce the number of poverty-level families**

Union County is committed to reducing the number of households with incomes below the poverty level by supporting programs to motivate and assist them to move toward self-sufficiency. The County will continue to support the efforts of local agencies who are working with consumers who may be at the poverty level or below the poverty level. Jurisdictions work with various service providers and other units of local government to provide low-income citizens with supportive services.

The County continues to provide programs to address human service needs in the community. These services and programs included children and family services, adult services, daycare, Medicaid, child support, food and nutrition services, Work First program, Program Integrity and many others. These programs and services help to build a foundation upon which individuals and families can find a pathway to self-sufficiency.

As a means of reducing the number of persons with incomes below the poverty line, the County will continue to coordinate efforts with other public and private organizations providing economic development and job training programs.

### **Actions planned to develop institutional structure**

Union County manages the institutional delivery structure surrounding the acceptance and allocation of federal grant funds for Consolidated Plan programs. The goals and objectives of the Strategic Plan could not have been developed without residents' informed assistance.

Implementation of CDBG funds is overseen by the County Manager's Office. The participating jurisdictions and area non-profits will coordinate and assist in the implementation of approved projects, centered on delivering public improvements and facilities. The Union County Board of Commissioners approves projects and programs that meet the County's goals.

As the program matures during the course of the five-year planning period Union County will work to expand the departments and area non-profit agencies involved in the institutional delivery system for the CDBG program.

## **Actions planned to enhance coordination between public and private housing and social service agencies**

Coordination between providers is essential to improve the conditions and address gaps in services for Union County residents. Actions planned to enhance coordination between public and private housing and social service agencies include:

- Encourage agencies to work together to apply for CDBG funds to leverage resources to the fullest extent.
- As requests align with the Consolidated Plan goals, provide CDBG funds to eligible projects for housing and social services.
- Continue working with the Piedmont Regional Continuum of Care (PRCC) to address issues of poverty and homelessness.
- Inform agencies about the benefits of participating in the PRCC for providers and clients.
- Offer referrals to organizations that would benefit from the leadership, programs, services, or collaboration with other organizations.

### **Discussion:**

Union County is continually working to develop a more robust program as it becomes a more seasoned entitlement recipient. The County has few internal resources and limited funding; however, the County will continue to work with identified local partners to expand existing opportunities and develop new programs that address the needs of low and moderate-income residents.

## Program Specific Requirements

### AP-90 Program Specific Requirements – 91.220(I) (1,2,4)

#### Introduction:

The following provides details on program specific requirements for the Community Development Block Grant.

#### Community Development Block Grant Program (CDBG) Reference 24 CFR 91.220(I)(1)

Projects planned with all CDBG funds expected to be available during the year are identified in the Projects Table. The following identifies program income that is available for use that is included in projects to be carried out.

1. The total amount of program income that will have been received before the start of the next program year and that has not yet been reprogrammed	0
2. The amount of proceeds from section 108 loan guarantees that will be used during the year to address the priority needs and specific objectives identified in the grantee's strategic plan.	0
3. The amount of surplus funds from urban renewal settlements	0
4. The amount of any grant funds returned to the line of credit for which the planned use has not been included in a prior statement or plan	0
5. The amount of income from float-funded activities	0
<b>Total Program Income:</b>	<b>0</b>

#### Other CDBG Requirements

1. The amount of urgent need activities	0
2. The estimated percentage of CDBG funds that will be used for activities that benefit persons of low and moderate income. Overall Benefit - A consecutive period of one, two or three years may be used to determine that a minimum overall benefit of 70% of CDBG funds is used to benefit persons of low and moderate income. Specify the years covered that include this Annual Action Plan.	100.00%

Union County will receive an estimated allocation of \$881,099 in CDBG funds for the fifth and final year of the 2015-2020 Consolidated Plan. Project administration and planning (20 percent of the total allocation) are excluded from the LMI benefit calculation. The remaining \$705,099 will be allocated for program activities outlined in section AP-38. It is estimated that 100% of those funds will be used to benefit persons of low and moderate income during the 2020 AAP performance period.

**Affidavit of Publication**

To All Interested Agencies,  
Groups, and Persons:

STATE OF NORTH                    SS  
CAROLINA }  
COUNTY OF }

Dale Morefield, being duly sworn, says:


That he is Publisher of the The Enquirer Journal, a daily newspaper of general circulation, printed and published in Monroe, County, North Carolina; that the publication, a copy of which is attached hereto, was published in the said newspaper on the following dates:

January 30, 2020

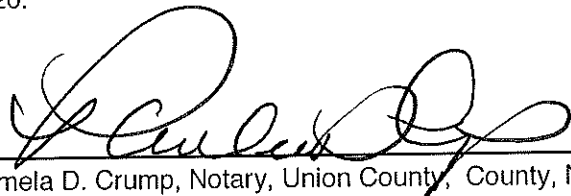
Union County would like your participation in the preparation of the 2020 Annual Action Plan (2020AAP). This annual document is required by the U.S. Department of Housing and Urban Development (HUD) to receive federal assistance to address housing, economic development, and community development issues. Join us and find out how funds may be utilized in the community and offer suggestions for new programs or projects. It is anticipated that Union County will have approximately \$239,000 available for fiscal year 2020-2021 for competitive grant applications.

That said newspaper was regularly issued and circulated on those dates.

SIGNED:

  
\_\_\_\_\_  
Publisher

Subscribed to and sworn to me this 30th day of January 2020.

  
\_\_\_\_\_  
Pamela D. Crump, Notary, Union County, County, North Carolina

My commission expires: July 10, 2023

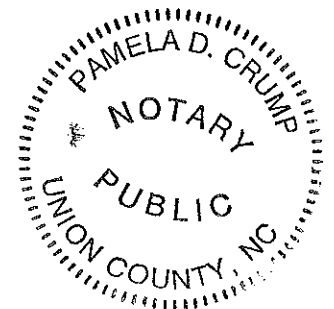
30062340 30894874

Lynn West  
UC Board of Commissioners-131 legals  
500 N. Main St Rm. 921  
MONROE, NC 28112

The process of developing this plan gives Union County's communities a structure for identifying gaps and opportunities for collaboration within the County's current service delivery system. Union County encourages citizens to become involved in the development of the Annual Action Plan. Your participation is needed to discuss how we can best serve our community.

The County will hold a public hearing to obtain input on housing and community development needs on Wednesday, February 12, 2020 from 4:00 PM until 5:00 PM in the First Floor Conference Room located at the Union County Government Center, 500 North Main Street, Monroe, NC 28112. All meeting facilities are handicapped accessible. If you have non-English speaking needs or if you need additional information, please contact Patrick Niland, Assistant County Manager at 704-283-3630.

January 30, 2020



AFFP

UNION COUNTY Community Develop

# Affidavit of Publication

STATE OF NORTH CAROLINA }  
COUNTY OF *Union* SS

Kimberly Cook, being duly sworn, says:

That she is the billing clerk of the The Enquirer Journal, a daily newspaper of general circulation, printed and published in Monroe, County, North Carolina; that the publication, a copy of which is attached hereto, was published in the said newspaper on the following dates:

March 31, 2020

That said newspaper was regularly issued and circulated on those dates.

SIGNED:

*Kimberly Cook*  
\_\_\_\_\_

the billing clerk

Subscribed to and sworn to me this 31st day of March 2020.

*Barbara M Daniels*  
\_\_\_\_\_

Barbara M Daniels, Notary, Guilford County, County, North Carolina

30062340 30901035

Lynn West  
UC Board of Commissioners-131 legals  
500 N. Main St Rm. 921  
MONROE, NC 28112



UNION COUNTY  
Community Development  
Block Grant  
Fiscal Year 2020 - 2021  
2020 Annual Action Plan  
2018 Annual Action Plan  
Amendment #2  
Public Hearing and 30-day  
Comment Period

March 31, 2020

Union County would like your participation in the review of the 2020 Annual Action Plan (2020AAP) for the Community Development Block Grant (CDBG) Program. This annual document is required by the U.S. Department of Housing and Urban Development (HUD) in order to receive federal assistance to address housing, economic development, and community development issues. The 2020AAP is a component of the County's Five-Year Consolidated Plan. The 2020AAP is a planning document Union County submits each year to HUD detailing how the County proposes to spend the CDBG funds during the upcoming program year.

The 2018 Annual Action Plan (2018AAP) is proposed to be amended to reflect several changes that includes the reallocation of funding from projects that completed activities under budget. Approximately \$83,000 will be allocated to local Volunteer Fire Departments located within low and moderate census block groups for acquisition of fire protection equipment that may include emergency vehicles, fire fighters' protective clothing, self-contained breathing apparatuses and other life-saving equipment that is integral to the fire protection facility.

The 2020AAP and 2018AAP Amendment #2 are available for public review and comment from April 1, 2020 to April 30, 2020. Copies of these documents are available upon request. Requests should be submitted to Union County or the documents may be accessed online at [www.co.union.nc.us](http://www.co.union.nc.us).

Due to public health concerns the County will hold a virtual public hearing to obtain comments on these documents and proposed activities for Union County's CDBG program on Wednesday, April 15, 2020 from 10:00 to 11:00 AM. Attendees will be able to access the virtual meeting via computer or telephone. To register for the virtual hearing, please contact Victoria Avramovic. Anyone needing special modifications when attending this meeting, has non-English-speaking needs and/or if this information is needed in an alternative format because of a disability, please contact Victoria Avramovic at (704) 688-6502 or [vrittenhouse@centralina.org](mailto:vrittenhouse@centralina.org). We request at least 72 hours' notice prior to the meeting to make the appropriate arrangements.

There are two ways to participate: 1) Present your comments at the virtual public hearing, 2) send written comments to 500 North Main St., Monroe, NC 28112 Attn: CDBG Citizen Participation Coordinator. All letters and emails must be received by April 30, 2020 to be considered for the publication of the Annual Action Plan.

March 31, 2020



**APPLICATION FOR  
FEDERAL ASSISTANCE**

OMB Approved No. 3076-0006

Version 7/03

<b>1. TYPE OF SUBMISSION:</b> Application		<b>2. DATE SUBMITTED</b>	Applicant Identifier
<input type="checkbox"/> Construction	<input type="checkbox"/> Pre-application	<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
<input checked="" type="checkbox"/> Non-Construction	<input type="checkbox"/> Construction	<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier
<input type="checkbox"/> Non-Construction	<input type="checkbox"/> Non-Construction		

**5. APPLICANT INFORMATION**

Legal Name: Union County	<b>Organizational Unit:</b> Department: County Manager's Office
Organizational DUNS: 079051367	Division:
<b>Address:</b> Street: 500 North Main Street	<b>Name and telephone number of person to be contacted on matters involving this application (give area code)</b> Prefix: Mr. First Name: Patrick
City: Monroe	Middle Name:
County: Union	Last Name: Niland
State: NC Zip Code: 28112	Suffix:
Country: USA	Email: Patrick.Niland@co.union.nc.us

**6. EMPLOYER IDENTIFICATION NUMBER (EIN):**

5 6 - 6 0 0 0 3 4 5

Phone Number (give area code) (704) 283-3630	Fax Number (give area code)
---	-----------------------------

**8. TYPE OF APPLICATION:**

New  Continuation  Revision

If Revision, enter appropriate letter(s) in box(es)  
(See back of form for description of letters.)

Other (specify)

**7. TYPE OF APPLICANT:** (See back of form for Application Types)

Government

Other (specify)

**9. NAME OF FEDERAL AGENCY:**

U.S. Department of Housing and Urban Development

**10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:**

1 4 - 2 1 8

TITLE (Name of Program):  
CDBG Entitlement Program

**11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:**

Entitlement Community: Community Development Block Grant  
Program: 2020 Annual Action Plan

**12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):**

Union County, Marshville, Monroe, Stallings, Waxhaw, Weddington, & Wingate

**13. PROPOSED PROJECT**

Start Date: Ending Date:

**14. CONGRESSIONAL DISTRICTS OF:**

a. Applicant District 8 and 9 b. Project District 8 and 9

**15. ESTIMATED FUNDING:**

a. Federal	\$	881,099 <sup>00</sup>
b. Applicant	\$	<sup>00</sup>
c. State	\$	<sup>00</sup>
d. Local	\$	<sup>00</sup>
e. Other	\$	<sup>00</sup>
f. Program Income	\$	<sup>00</sup>
g. TOTAL	\$	881,099 <sup>00</sup>

**16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?**

a. Yes.  THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON

DATE:

b. No.  PROGRAM IS NOT COVERED BY E. O. 12372


OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

**17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?**

Yes If "Yes" attach an explanation.  No

**18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.**

**a. Authorized Representative**

Prefix Mr.	First Name Mark	Middle Name
Last Name Watson	Suffix	
b. Title County Manager	c. Telephone Number (give area code) (704) 283-3636	
d. Signature of Authorized Representative 	e. Date Signed 06/03/2020	

## CERTIFICATIONS

In accordance with the applicable statutes and the regulations governing the consolidated plan regulations, the jurisdiction certifies that:

**Affirmatively Further Fair Housing** -- The jurisdiction will affirmatively further fair housing, which means it will conduct an analysis of impediments to fair housing choice within the jurisdiction, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

**Anti-displacement and Relocation Plan** -- It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential antidisplacement and relocation assistance plan required under section 104(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG or HOME programs.

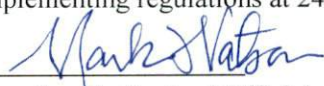
**Anti-Lobbying** -- To the best of the jurisdiction's knowledge and belief:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, 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 any agency, a Member of Congress, 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, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
3. It will require that the language of paragraph 1 and 2 of this anti-lobbying certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**Authority of Jurisdiction** -- The consolidated plan is authorized under State and local law (as applicable) and the jurisdiction possesses the legal authority to carry out the programs for which it is seeking funding, in accordance with applicable HUD regulations.

**Consistency with plan** -- The housing activities to be undertaken with CDBG, HOME, ESG, and HOPWA funds are consistent with the strategic plan.

**Section 3** -- It will comply with section 3 of the Housing and Urban Development Act of 1968, and implementing regulations at 24 CFR Part 135.

  
Signature/Authorized Official

Date 06/03/2020



## Specific CDBG Certifications

The Entitlement Community certifies that:

**Citizen Participation** -- It is in full compliance and following a detailed citizen participation plan that satisfies the requirements of 24 CFR 91.105.

**Community Development Plan** -- Its consolidated housing and community development plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that provide decent housing, expand economic opportunities primarily for persons of low and moderate income. (See CFR 24 570.2 and CFR 24 part 570)

**Following a Plan** -- It is following a current consolidated plan (or Comprehensive Housing Affordability Strategy) that has been approved by HUD.

**Use of Funds** -- It has complied with the following criteria:

1. Maximum Feasible Priority. With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available);
2. Overall Benefit. The aggregate use of CDBG funds including section 108 guaranteed loans during program year(s) 2019, \_\_\_\_\_ (a period specified by the grantee consisting of one, two, or three specific consecutive program years), shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;
3. Special Assessments. It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

The jurisdiction will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to pay the proportion of fee or assessment attributable to the capital costs of public improvements financed from other revenue sources. In this case, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds. Also, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

**Excessive Force** -- It has adopted and is enforcing:

1. A policy prohibiting the use of excessive force by law enforcement agencies within its



jurisdiction against any individuals engaged in non-violent civil rights demonstrations; and

2. 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 non-violent civil rights demonstrations within its jurisdiction;

**Compliance With Anti-discrimination laws** -- The grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 USC 2000d), the Fair Housing Act (42 USC 3601-3619), and implementing regulations.

**Lead-Based Paint** -- Its activities concerning lead-based paint will comply with the requirements of 24 CFR Part 35, subparts A, B, J, K and R;

**Compliance with Laws** -- It will comply with applicable laws.

Mark Nator                      06/03/2020  
Signature/Authorized Official                      Date

County Manager  
Title

## APPENDIX TO CERTIFICATIONS

### INSTRUCTIONS CONCERNING LOBBYING:

#### A. Lobbying Certification

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

## ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0009  
Expiration Date: 01/31/2019

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**


**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.



11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Mark Watson
APPLICANT ORGANIZATION Union County, North Carolina	DATE SUBMITTED 06/03/2020