

## Executive Summary

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

#### 1. Introduction

Each year, the City of Gastonia develops an Annual Action Plan which details specific activities to carry out its Five-Year Consolidated Plan's priorities and goals.

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

This could be a restatement of items or a table listed elsewhere in the plan or a reference to another location. It may also contain any essential items from the housing and homeless needs assessment, the housing market analysis or the strategic plan.

The objectives for the PY2023 Program Year include:

- (1). Develop affordable housing through: CHDO set-aside, New Construction, Direct Homeownership Assistance,
- (2). Develop public infrastructure which provides support to individuals and families within the community,
- (3). Address homelessness communitywide, and
- (4). Provide the general administration and project delivery to support programs.

#### 3. Evaluation of past performance

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

The City of Gastonia based its goals and objectives for PY2023 on community participation and data. These aspects support the continued need for the following projects:

- Affordable Housing
- Direct Homeownership Assistance
- Rental Assistance
- Housing and Supportive Services
- Public Improvements and Neighborhood Revitalization

- Fair Housing: Education and Enforcement
- Program Administration

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

Summary from citizen participation section of plan.

Citizen participation is multi-faceted through a combination of committee involvement, public meetings, and public comment. Priority needs are developed based on community participation and stakeholder consultation for both the City of Gastonia and Gastonia-Gaston Consortium.

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

This could be a brief narrative summary or reference an attached document from the Citizen Participation section of the Con Plan.

See the Attached for the summary of public comments received.

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

Public comments were received but none were in opposition of the programs and activities selected and presented in the PY2023 AAP Draft.

#### **7. Summary**

**PR-05 Lead & Responsible Agencies - 91.200(b)**

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

The following are the agencies/entities responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

<b>Agency Role</b>	<b>Name</b>	<b>Department/Agency</b>
CDBG Administrator	Gastonia	Community Development Division
HOME Administrator	Gastonia	Community Development Division

**Table 1 – Responsible Agencies**

**Narrative**

**Consolidated Plan Public Contact Information**

Danette M. Dye, Director of Housing and Community Engagement

City of Gastonia-Community Development Division

Garland Municipal Business Center

PO Box 1748

150 S. York Street, Gastonia, NC 28053-1748

Danette.Dye@GastoniaNC.gov



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

### **1. Introduction**

The City of Gastonia utilized its citizen participation process to engage citizens, non-profit agencies, developers and the like to comment on the planning of its PY2023 Annual Action Plan.

**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(l)).**

A public comment period and public hearings were used to field citizen comments as related to the preparation of the PY2023 Annual Action Plan.

**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.**

The City of Gastonia regularly engages with the CoC to determine the areas of efforts needed for each defined category of homelessness.

**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**

The City of Gastonia regularly engages with the Gaston-Lincoln-Cleveland Continuum of Care throughout the program year to collaborate and understand the evolving needs as it relates to homelessness. It is through this engagement that the CoC performance standards, outcomes of projects and other related matters are conveyed. This information is taken into consideration when preparing the Annual Action Plan.

### **2. Agencies, groups, organizations and others who participated in the process and consultations**

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

<b>1</b>	<b>Agency/Group/Organization</b>	Citizens Advisory Board
	<b>Agency/Group/Organization Type</b>	Other government - Local
	<b>What section of the Plan was addressed by Consultation?</b>	Annual Action Plan
	<b>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</b>	The Citizens Advisory Board (CAB) was aware of the planning process and involved in the public hearing process and encouraged to provide input as to the needs of the community.

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

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

<b>Name of Plan</b>	<b>Lead Organization</b>	<b>How do the goals of your Strategic Plan overlap with the goals of each plan?</b>
Continuum of Care	HealthNet Gaston	The goals of the Strategic Plan align with the CoC's plan to end homelessness. Both plans cover several years and outlines activities to reach accomplishment.

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

**Narrative**

**AP-12 Participation - 91.401, 91.105, 91.200(c)**

**1. Summary of citizen participation process/Efforts made to broaden citizen participation  
Summarize citizen participation process and how it impacted goal-setting**

Committee involvement, public notices, public hearings and comment periods are used to solicit citizen participation an input for proposed projects and activities. Each activity allows for input essential to public participation in developing plans and carrying out activities.

**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	URL (If applicable)
1	Public Hearing	Minorities Non-English Speaking - Specify other language: Spanish Non-targeted/broad community	In-person public hearing was held on Monday, May 8, 2023 at 6PM at the Garland Center.	The summary of the public comments received were how can we immediately help the homeless with these funds. Funds are designated specifically for homeless assistance.	N/A	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
2	Public Comment Period	Non-English Speaking - Specify other language: Spanish  Non-targeted/broad community	Public Comment period was held through April 28, 2023 thru May 28, 2023.	No responses were received from the comment period	N/A	

**Table 4 – Citizen Participation Outreach**



## Expected Resources

### AP-15 Expected Resources - 91.420(b), 91.220(c)(1,2)

#### Introduction

The City of Gastonia expects to receive a total allocation of \$1,409,293 in HUD grant funds for the 2023 program year, including \$579,177 in CDBG and \$830,116 in HOME grant funds.

#### 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: \$		
CDBG	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	562,497	18,299	0	580,796	0	Funding to assist low- and moderate-income neighborhoods and households with housing, services, employment opportunities, and public improvements.

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: \$		
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	830,116	19,400	0	849,516	0	Funding to assist low- and moderate-income households obtain and maintain safe, decent, and affordable housing.

**Table 2 - Expected Resources – Priority Table**

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

The City of Gastonia will leverage resources through partnerships with local agencies, including nonprofit organizations and for-profit companies, that contribute additional funding and staff time to the projects funded through CDBG and HOME grant money. Over the next five years, Gastonia anticipates satisfying match requirements through a variety of means, such as:

- City of Gastonia funding and other support for HealthNet Gaston;
- Local funding provided by the United Way of Gaston County;
- Local funding provided by Continuum of Care member agencies;
- In kind services for new construction and rehabilitation by Habitat for Humanity of Gaston County;

- Waived fees provided by local banks participating in the City's Homebuyers Assistance Program; and
- Grant match funds for public facility and infrastructure projects.

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

CDBG funding may be used to develop public facilities or infrastructure on existing publicly-owned land to benefit low- and moderate-income people or households. Additionally, publicly-owned residential lots may be used to support additional housing/homeownership opportunities for low- and moderate-income households. If CDBG or HOME grant funds are ever used to acquire property for public purposes, the City will follow acquisition requirements to determine fair market value.

**Discussion**

The PY2023 allocation for CDBG is \$579,177 with anticipated program income of \$16,680 from a CDBG loan for Gateway Village Housing. The PY2023 HOME allocation is \$830,116 with \$19,400 in program income from HOME loan repayment.

## Annual Goals and Objectives

### AP-20 Annual Goals and Objectives - 91.420, 91.220(c)(3)&(e)

#### Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Safe and Decent Affordable Housing	2020	2024	Affordable Housing	Central Gastonia Consortium	Develop, Acquire, or Preserve Affordable Housing Homebuyer Assistance Rental Assistance	CDBG: \$374,504 HOME: \$661,883	Homeowner Housing Added: 5 Household Housing Unit Homeowner Housing Rehabilitated: 9 Household Housing Unit Direct Financial Assistance to Homebuyers: 20 Households Assisted Tenant-based rental assistance / Rapid Rehousing: 5 Households Assisted Homelessness Prevention: 25 Persons Assisted Other: 400 Other
2	Homeless Assistance and Services	2020	2024	Homeless	Central Gastonia	Homeless Housing and Supportive Services	CDBG: \$74,000 HOME: \$29,122	Public service activities other than Low/Moderate Income Housing Benefit: 400 Persons Assisted Homelessness Prevention: 242 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
3	Fair Housing	2020	2024	Fair Housing	Central Gastonia	Fair Housing Education and Enforcement	CDBG: \$18,736	Public service activities other than Low/Moderate Income Housing Benefit: 400 Persons Assisted
4	Program Administration	2020	2024	Administration	Central Gastonia	Program Administration	CDBG: \$111,937 HOME: \$78,648	Other: 400 Other

**Table 3 – Goals Summary**

**Goal Descriptions**

1	Goal Name	Safe and Decent Affordable Housing
	Goal Description	
2	Goal Name	Homeless Assistance and Services
	Goal Description	
3	Goal Name	Fair Housing
	Goal Description	
4	Goal Name	Program Administration
	Goal Description	



## AP-35 Projects - 91.420, 91.220(d)

### Introduction

The projects listed below represent the activities Gastonia plans to undertake during the 2023 program year to address the goals of providing decent affordable housing, promoting a suitable living environment, and encouraging economic opportunity.

Table 1 – Project Information

#	Project Name
1	CDBG - General Administration
2	CDBG - Project Delivery
3	CDBG - Fair Housing
4	CDBG - Property Disposition
5	CDBG - Non Profit (CoC)
6	HOME - General Administration
7	CDBG - Continuum of Care
8	HOME - Tenant Based Rental Assistance (TBRA)
9	CDBG - Cold Weather Shelter
10	CDBG - NC HMIS
11	HOME - New Construction
12	HOME - CHDO Set-aside
13	HOME - CHDO Operating
14	HOME - Direct Homeowner Assistance
15	CDBG - Housing Rehabilitation
16	CDBG - Public Infrastructure

Table 4 – Project Information

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



**AP-38 Project Summary**  
**Project Summary Information**

1	<b>Project Name</b>	CDBG - General Administration
	<b>Target Area</b>	Central Gastonia
	<b>Goals Supported</b>	Program Administration
	<b>Needs Addressed</b>	Develop, Acquire, or Preserve Affordable Housing Rental Assistance Homeless Housing and Supportive Services Program Administration
	<b>Funding</b>	CDBG: \$111,937
	<b>Description</b>	Funds Allocated for salaries, fringe benefits and general expenses
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	400
	<b>Location Description</b>	County-wide
	<b>Planned Activities</b>	
2	<b>Project Name</b>	CDBG - Project Delivery
	<b>Target Area</b>	Central Gastonia
	<b>Goals Supported</b>	Safe and Decent Affordable Housing
	<b>Needs Addressed</b>	Develop, Acquire, or Preserve Affordable Housing Rental Assistance Homeless Housing and Supportive Services
	<b>Funding</b>	CDBG: \$65,283
	<b>Description</b>	Funds allocated for salaries, fringe benefits & general expenses in the execution of the rehab/new construction, affordable housing programs
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	400
	<b>Location Description</b>	
	<b>Planned Activities</b>	
	<b>Project Name</b>	CDBG - Fair Housing

3	<b>Target Area</b>	Central Gastonia
	<b>Goals Supported</b>	Fair Housing
	<b>Needs Addressed</b>	Develop, Acquire, or Preserve Affordable Housing Rental Assistance
	<b>Funding</b>	CDBG: \$18,736
	<b>Description</b>	Funds allocated for general expenses for fair housing admin, fair housing activities, fair housing hot line & minority recruitment of contractors
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	400
	<b>Location Description</b>	
	<b>Planned Activities</b>	
4	<b>Project Name</b>	CDBG - Property Disposition
	<b>Target Area</b>	Central Gastonia
	<b>Goals Supported</b>	Safe and Decent Affordable Housing
	<b>Needs Addressed</b>	Develop, Acquire, or Preserve Affordable Housing
	<b>Funding</b>	CDBG: \$11,075
	<b>Description</b>	Weed cutting, maintenance & repairs, utilities & gas service for properties owned by Housing and Community Engagement currently or newly acquired.
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	2
	<b>Location Description</b>	
<b>Planned Activities</b>		
5	<b>Project Name</b>	CDBG - Non Profit (CoC)
	<b>Target Area</b>	Central Gastonia
	<b>Goals Supported</b>	Homeless Assistance and Services
	<b>Needs Addressed</b>	Homeless Housing and Supportive Services

	<b>Funding</b>	CDBG: \$1,000
	<b>Description</b>	Designed to assist CoC and other service providers serving low/mod income limited clientele
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	242
	<b>Location Description</b>	
	<b>Planned Activities</b>	
<b>6</b>	<b>Project Name</b>	HOME - General Administration
	<b>Target Area</b>	Gastonia Consortium
	<b>Goals Supported</b>	Safe and Decent Affordable Housing Homeless Assistance and Services Fair Housing Program Administration
	<b>Needs Addressed</b>	Develop, Acquire, or Preserve Affordable Housing Rental Assistance Program Administration
	<b>Funding</b>	HOME: \$78,648
	<b>Description</b>	Funds to supplement salaries & general expenses for the administration of the HOME program
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	400
	<b>Location Description</b>	
	<b>Planned Activities</b>	
<b>7</b>	<b>Project Name</b>	CDBG - Continuum of Care
	<b>Target Area</b>	Central Gastonia
	<b>Goals Supported</b>	Homeless Assistance and Services
	<b>Needs Addressed</b>	Homeless Housing and Supportive Services
	<b>Funding</b>	CDBG: \$65,000

	<b>Description</b>	Funds allocated to provide technical assistance & build capacity for the homeless strategy.
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	242
	<b>Location Description</b>	
	<b>Planned Activities</b>	
<b>8</b>	<b>Project Name</b>	HOME - Tenant Based Rental Assistance (TBRA)
	<b>Target Area</b>	Gastonia Consortium
	<b>Goals Supported</b>	Safe and Decent Affordable Housing
	<b>Needs Addressed</b>	Rental Assistance
	<b>Funding</b>	HOME: \$71,985
	<b>Description</b>	Program to help individual households acquire permanent housing.
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	4
	<b>Location Description</b>	
	<b>Planned Activities</b>	
<b>9</b>	<b>Project Name</b>	CDBG - Cold Weather Shelter
	<b>Target Area</b>	Central Gastonia
	<b>Goals Supported</b>	Homeless Assistance and Services
	<b>Needs Addressed</b>	Homeless Housing and Supportive Services
	<b>Funding</b>	CDBG: \$7,000
	<b>Description</b>	Funds allocated to provide immediate shelter when temperatures are below freezing.
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	150

	<b>Location Description</b>	
	<b>Planned Activities</b>	
<b>10</b>	<b>Project Name</b>	CDBG - NC HMIS
	<b>Target Area</b>	Central Gastonia
	<b>Goals Supported</b>	Homeless Assistance and Services
	<b>Needs Addressed</b>	Homebuyer Assistance
	<b>Funding</b>	CDBG: \$1,000
	<b>Description</b>	License fee for CoC to participate with the NC HMIS system as required by HUD.
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	242
	<b>Location Description</b>	
	<b>Planned Activities</b>	
<b>11</b>	<b>Project Name</b>	HOME - New Construction
	<b>Target Area</b>	Gastonia Consortium
	<b>Goals Supported</b>	Safe and Decent Affordable Housing
	<b>Needs Addressed</b>	Develop, Acquire, or Preserve Affordable Housing
	<b>Funding</b>	HOME: \$345,000
	<b>Description</b>	New construction of affordable housing unit.
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	3
	<b>Location Description</b>	
	<b>Planned Activities</b>	
<b>12</b>	<b>Project Name</b>	HOME - CHDO Set-aside
	<b>Target Area</b>	Gastonia Consortium
	<b>Goals Supported</b>	Safe and Decent Affordable Housing
	<b>Needs Addressed</b>	Develop, Acquire, or Preserve Affordable Housing

	<b>Funding</b>	HOME: \$124,517
	<b>Description</b>	Funds will be used to develop affordable housing for low/mod income families and individuals with emphasis on special needs populations.
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	2
	<b>Location Description</b>	
	<b>Planned Activities</b>	
<b>13</b>	<b>Project Name</b>	HOME - CHDO Operating
	<b>Target Area</b>	Gastonia Consortium
	<b>Goals Supported</b>	Safe and Decent Affordable Housing Homeless Assistance and Services
	<b>Needs Addressed</b>	Rental Assistance Homeless Housing and Supportive Services
	<b>Funding</b>	HOME: \$37,000
	<b>Description</b>	Designated for CHDO operating expenses.
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	25
	<b>Location Description</b>	
<b>Planned Activities</b>		
<b>14</b>	<b>Project Name</b>	HOME - Direct Homeowner Assistance
	<b>Target Area</b>	Gastonia Consortium
	<b>Goals Supported</b>	Safe and Decent Affordable Housing
	<b>Needs Addressed</b>	Homebuyer Assistance
	<b>Funding</b>	HOME: \$192,366
	<b>Description</b>	This program provides down payment & closing cost assistance to approximately 50 qualified low/mod income homebuyers.
	<b>Target Date</b>	6/30/2024

	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	20
	<b>Location Description</b>	
	<b>Planned Activities</b>	
15	<b>Project Name</b>	CDBG - Housing Rehabilitation
	<b>Target Area</b>	Central Gastonia
	<b>Goals Supported</b>	Safe and Decent Affordable Housing
	<b>Needs Addressed</b>	Develop, Acquire, or Preserve Affordable Housing
	<b>Funding</b>	CDBG: \$238,744
	<b>Description</b>	Program designed to assist low/mod income families address health & safety housing issues.
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	9
	<b>Location Description</b>	
	<b>Planned Activities</b>	
16	<b>Project Name</b>	CDBG - Public Infrastructure
	<b>Target Area</b>	Central Gastonia
	<b>Goals Supported</b>	Safe and Decent Affordable Housing
	<b>Needs Addressed</b>	Public Improvements/ Neighborhood Revitalization
	<b>Funding</b>	CDBG: \$61,021
	<b>Description</b>	Program designed to assist low to moderate income families to address health & safety issues.
	<b>Target Date</b>	6/30/2024
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	



## **AP-50 Geographic Distribution - 91.420, 91.220(f)**

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

CDBG funding is allocated to the City of Gastonia for use within the city limits for housing assistance, public services, economic development, and public infrastructure and facility improvements. The Local Target Area shown below includes Gastonia city limits, where 100% of CDBG funds will be spent over the next five years.

As of the FY2019, HUD identified 60 of the City's 85 block groups as having low- and moderate-income population shares over 51%, meaning that they are eligible for CDBG projects that provide an area-wide benefit. These block groups covered most of the city west of Armstrong Park Road/Cox Road and north of East Hudson Boulevard to Union Road.

HOME funding is allocated to the Gastonia Consortium and administered by the City of Gastonia for use throughout Gaston County, excluding Spencer Mountain and High Shoals and including all of Kings Mountain.

### **Geographic Distribution**

<b>Target Area</b>	<b>Percentage of Funds</b>
Central Gastonia	100
Gastonia Consortium	

**Table 5 - Geographic Distribution**

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

The City of Gastonia determined its PY2023 projects based on priority needs, eligibility, availability of funds, and readiness to proceed, with emphasis on improving neighborhood conditions and access to opportunity in high poverty areas and increasing the number of affordable housing units throughout the Consortium.

### **Discussion**

## Affordable Housing

### AP-55 Affordable Housing - 91.420, 91.220(g)

#### Introduction

Over the course of Program Year 2023, Gastonia will assist 287 individuals and/or families with affordable housing. Through CDBG, the City will fund housing rehabilitation for 9 homeowners. Through HOME, the Consortium will fund tenant-based rental assistance for 5 households, down payment and closing cost assistance for 20 homebuyers, 9 new construction units for low-moderate income households utilizing LITEC funding, and 2 units to be constructed/rehabilitated by a CHDO for low-moderate income households. Additionally, the Continuum of Care will use CDBG funds to provide homeless prevention services for 242 people at risk of homelessness.

<b>One Year Goals for the Number of Households to be Supported</b>	
Homeless	242
Non-Homeless	20
Special-Needs	0
Total	262

**Table 6 - One Year Goals for Affordable Housing by Support Requirement**

<b>One Year Goals for the Number of Households Supported Through</b>	
Rental Assistance	5
The Production of New Units	11
Rehab of Existing Units	9
Acquisition of Existing Units	0
Total	25

**Table 7 - One Year Goals for Affordable Housing by Support Type**

#### Discussion

## **AP-60 Public Housing - 91.420, 91.220(h)**

### **Introduction**

Gaston County residents are served by three housing authorities – the Gastonia Housing Authority (GHA), the Belmont Housing Authority, and the Mount Holly Housing Authority. GHA is the largest and manages the Section 8 / Housing Choice Voucher (HCV) program for the entire county, which includes about 1,650 vouchers, according to GHA’s 2019 Public Housing Authority Annual Plan. Previously, GHA owned and operated about 400 units of public housing at three properties (Weldon Heights, Mountain View, and Linwood Terrace), however, in recent years, GHA has converted all its public housing properties under HUD’s Rental Assistance Demonstration (RAD) program. Under this program, housing authorities move public housing units to project-based Section 8 voucher assistance, allowing a nonprofit or for-profit entity to own and manage the property and obtain additional financing for maintenance and rehabilitation. While Weldon Heights, Mountain View, and Linwood Terrace are no longer public housing, they still provide affordable housing for low-income households, including newly-renovated three-, four-, and five-bedroom units.

The Belmont Housing Authority owns and operates one public housing property – Flowers Court – which includes 50 two-, three-, and four-bedroom apartments. Belmont Housing Authority also manages Myrtle Terrace, a 32-unit, one-bedroom affordable rental community with project-based Section 8 assistance.

Mount Holly Housing Authority owns the 46-unit Holly Hills Apartments, which is managed by the Statesville Housing Authority.

Other privately-owned project-based Section 8 and Low Income Housing Tax Credit (LITHC) communities provide additional affordable housing in Gaston County.

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

(Awaiting information from GHA)

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

Over the 2023 program year, GHA and the City’s Housing and Neighborhoods Division will continue collaborating to connect residents and voucher holders with homeownership opportunities through the Family Self-Sufficiency Program (operated by GHA) and the Home Buyer’s Club and Homebuyer’s Assistance Program (operated by the City).

Through these programs, households can save funds in an escrow account to be applied toward homeownership and receive financial counseling, down payment assistance, and other help making a

home purchase.

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

No housing authorities in Gaston County are designated as troubled. GHA is considered a High Performer.

**Discussion**

## **AP-65 Homeless and Other Special Needs Activities - 91.420, 91.220(i)**

### **Introduction**

The City of Gastonia is covered by the Gaston Lincoln Cleveland Continuum of Care, a network of service providers covering Gaston, Lincoln, and Cleveland counties. The Gaston Lincoln Cleveland Continuum of Care brings together housing and service providers to meet the needs of individuals and families experiencing homelessness. The City of Gastonia will continue to partner with the Continuum of Care and local homelessness service providers to achieve the City's homelessness goals

### **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**

Over the next year, members of the Gaston Lincoln Cleveland Continuum of Care and other homeless housing and service providers in the city of Gastonia will continue reaching out to homeless persons, including unsheltered persons, through street outreach and emergency shelter services. For the 2023 program year, the City will provide funding to the CoC for a variety of activities, including needs assessment and use of HMIS, through the CDBG program.

The City will also provide funding for a cold weather shelter for the homeless population when the weather becomes inclement.

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

During the 2023 program year, the Salvation Army will continue providing emergency shelter services in the city of Gastonia. Working with local partner organizations, the City will assist homeless individuals and families or those at risk of homelessness with access to housing through the provision of tenant-based rental assistance.

#### **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**

During the 2023 program year, the City of Gastonia will work to increase the availability of affordable housing by using HOME funds to support housing development, provide homeownership assistance, and

provide housing rehabilitation for low-income homeowners.

The City will also continue to support the Continuum of Care, members of which provide supportive services and housing search assistance for individuals and families consistent with a Housing First approach. Through the CoC, the City will fund organizations that provide case management and housing navigation services to assist individuals and families experiencing homelessness transition to permanent housing and prevent returns to homelessness.

Finally, the City will take steps to implement the strategies in its Analysis of Impediments to Fair Housing Choice, which includes strategies to support housing affordability in the city.

**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.**

Over the next year, housing and service providers in the City of Gastonia will continue to work together to prevent homelessness in populations who are vulnerable to or at risk of homelessness.

## **Discussion**

## **AP-75 Barriers to affordable housing -91.420, 91.220(j)**

### **Introduction**

The City of Gastonia completed an Analysis of Impediments to Fair Housing Choice (AI) covering the city and county in 2019. Part of that analysis included an examination of the city's zoning code and other public policies that impact housing affordability and fair access to housing. Fair housing barriers included:

1. Affordable housing needs that disproportionately impact protected classes;
2. Uneven access to opportunity;
3. Racial disparities in access to homeownership;
4. Limited housing options for people with disabilities; and
5. Need for continued and expanded fair housing activities.

The AI found that about 42% of households in the city and 34% in the county have one or more housing needs (cost burden, overcrowding, or lack of complete kitchen or bath facilities). In both Gastonia and Gaston County, households of color are 1.7 times more likely than white households to have a housing need. The zoning ordinance review identified factors that may impact housing cost / affordability in the city. Under the city's current Unified Development Ordinance (UDO), low density multifamily development is permitted by right in most mixed-use zones, but medium and higher density requires additional administrative and public hearing processes for approval through conditional use zoning or variances, which can impose higher costs on development and may artificially and unreasonably affect the feasibility of developing affordable and low-cost housing within the city. The AI noted that multifamily density and height standards could be increased by right instead of requiring conditional use or variance for approval.

The AI described additional ways the City of Gastonia could amend its UDO to reduce housing costs, noting that, "as land costs increase the City could consider lowering the minimum lot size requirements and removing the conditional permit approval process for two-family and multi-family housing developments in some districts and instead rely on a less time-consuming and less expensive administrative site plan review process to maintain oversight." It also identified an opportunity to expand the affordable housing supply by permitting accessory dwelling units for rent, especially in low-density, large-lot areas where they could be easily accommodated. The City's land use regulations could also go further to incentivize the development of affordable housing through inclusionary zoning policies.

The AI also specifically considered access to housing, including affordable housing, for people with disabilities. It noted that Gastonia's UDO restricts transitional housing facilities (defined as ones that provide support services, such as counseling, on an ongoing basis to up to twelve residents to assist with needs such as homelessness, employment, health and behavioral matters, and life skills) to commercial and industrial zones (C-2, C-3, and IU zones), thereby excluding them from residential zones. The AI

found that this restriction could limit housing options and have a disproportionate impact on people with disabilities, people of color, families with children, or other protected groups.

In addition to the affordable housing barriers discussed in the Analysis of Impediments, public input for this Consolidated Plan also identified public policies that inhibit affordable housing and residential development. Stakeholders note that current City regulations prohibit new shelters within Gastonia city limits, but this is where transportation and other services that homeless residents rely on are most available. Stakeholders also noted the potential for increased rental housing costs and higher property taxes around the FUSE development, which could decrease affordability for both renters and owners.

**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**

Gastonia's 2019 Analysis of Impediments to Fair Housing Choice identified strategies and related implementation steps the City plans to take over the next five years to remove or ameliorate public policy barriers to affordable housing.

To address the limited supply of affordable housing and its disproportionate impact on households of color, the City will:

- Continue using HOME and CDBG funds to increase and maintain the availability of affordable rental and for-sale housing in the city and county through new construction and rehabilitation, including by working with local Community Housing Development Organizations (CHDOs). Consider ways CDBG funding may be used for infrastructure improvements that would enable the development of new affordable rental or for-sale units.
- Review North Carolina's allocation process for Low Income Housing Tax Credits (LIHTCs) to identify ways the City may be able to better impact the competitiveness of developers' applications, including local nonprofit developers. For developers proposing LIHTC projects in areas with access to key community resources/opportunity factors or areas experiencing a loss of affordable rental units, work with them to increase the competitiveness of their applications through letters of support, provision of information, or other assistance.
- Monitor rent levels, home prices, and property taxes in Gastonia neighborhoods at risk for gentrification. As redevelopment occurs, consider ways to encourage the development of mixed-income housing or incentivize the inclusion of affordable housing units.

To address limits on as-of-right higher density multifamily development, the City will:

- Review the City's zoning ordinance and table of permitted uses to consider where allowances



for denser as-of-right multifamily development may be made.

To improve housing access and affordability for people with disabilities, the City will:

- Review the City's zoning ordinance and table of permitted uses to consider where allowances for transitional housing facilities may be made within residential zoning districts.
- Draft and adopt local code amendments that would expand transitional housing facility site options and provide an administrative alternative to a variance application for people requesting accommodation or modification related to a disability.

In addition to addressing barriers identified in the Analysis of Impediments to Fair Housing Choice, the City will continue funding affordable housing and homeownership opportunities through its CDBG and HOME funds, as well as exploring new models to improve housing access and supportive services for people who are experiencing homelessness.

## **Discussion**

## **AP-85 Other Actions - 91.420, 91.220(k)**

### **Introduction**

This section details the City of Gastonia's actions planned to ensure safe and affordable housing for its residents, along with plans to meet underserved needs, reduce poverty, develop institutional structure, and enhance coordination between public and private sector housing and community development agencies.

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

Lack of sufficient funding and high costs for new development are two of the biggest obstacles to meeting underserved needs in the City of Gastonia and the Gastonia Consortium. In order to develop additional resources to meet affordable housing and homeless housing and service needs in the city and county, the City of Gastonia will continue working to identify and develop partnerships with private agencies with the goal of increasing the supply of affordable housing. These may include LIHTC or other developers considering housing projects in the city or county.

The City will also see possible available funding or grants that can be leveraged to bring new dollars for affordable housing or homelessness into the community.

Additionally, the City will review its zoning code for possible changes that would decrease costs or risk for multifamily developments, including identifying zones where denser multifamily construction may be built as-of-right.

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

In an effort to maintain the current affordable housing stock, the City of Gastonia will continue to provide funding for down payment assistance through its Homebuyer's Assistance Program and home rehabilitation assistance through its Homeowner Rehabilitation Program.

In addition to specific programs designed to foster and maintain affordable housing, the City will review its zoning ordinances for prospective barriers to affordable housing development and make amendments as needed. The City has recently updated its Analysis of Impediments to Fair Housing Choice. As a result of this study, the City may undertake additional approaches to fostering fair and affordable housing.

The City of Gastonia is currently going through an Affordable Housing Study which will be complete in October 2023. The results from this study will provide actionable items that the City can pursue to promote and provide more affordable housing opportunities. Also, during the Program Year 2023, the City of Gastonia will be conducting an Analysis of Impediments which will assist in identifying barriers

to housing (affordable) and will provide direction on how to overcome these challenges.

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

An important initiative emanating from HUD in the last decade is the reduction of lead-based paint hazards, and many jurisdictions around the country have focused on reaching this goal. The federal Residential Lead-Based Paint Hazard Reduction Act of 1992 (Title X of the Housing and Community Development Act of 1992) amends the Lead-Based Paint Poisoning Prevention Act of 1971, which is the law covering lead-based paint in federally funded housing. These laws and subsequent regulations issued by the U.S. Department of Housing and Urban Development (24 CFR part 35) protect young children from lead-based paint hazards in housing that is financially assisted or being sold by the federal government.

In property rehabilitation projects involving the City of Gastonia, the City will assess whether lead-based paint might be present and, if so, follow the guidelines set forth in the Residential Lead-Based Paint Hazard Reduction Act of 1992. The City of Gastonia is committed to testing and abating lead in all pre-1978 housing units assisted with federal grant funds in any of the housing programs it implements.

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

The City of Gastonia's anti-poverty strategy focuses on helping all low-income households improve their economic status and remain above the poverty level. This may include, but is not limited to housing and employment navigation, substance abuse recovery, healthcare, food and clothing, and transportation. Current programs to reduce poverty through access to education and jobs are provided by the Gaston County Workforce Development Board, as well as through the City's nonprofit grantees. Emergency assistance is also provided by several nonprofit housing and service agencies in the city. Additionally, the City of Gastonia's housing programs and activities that support development of affordable housing inherently address poverty by creating housing opportunities for low-income households. Without these housing opportunities, many low-income households would not be able to afford housing rehabilitation costs or to purchase a home.

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

The unmet needs of housing affordable to low- and moderate-income residents and social services for individuals and families experiencing or at risk of homelessness present an opportunity for the city to connect with organizations, affordable housing developers, and agencies working in these areas in Gastonia and the surrounding region. The City will also continue to work within existing partnerships and coalitions, such as the Gaston Lincoln Cleveland Continuum of Care, to work toward meeting local housing and service needs. The City of Gastonia will continue to work closely with state and local agencies and governments, nonprofit organizations, and other service providers to coordinate delivery of services to Gastonia residents. The Housing and Community Engagement Department will continue to

consult with various housing, homelessness, social service, elderly and disability resource agencies to gather data and identify service gaps.

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

The City of Gastonia will continue to be an active participant in the Gaston Lincoln Cleveland Continuum of Care. The Continuum of Care brings together nonprofit, government, and business leaders to provide a shared approach to goals of ending homelessness. Membership includes emergency, transitional, and permanent housing providers; nonprofit social service organizations; and government agencies.

The City will also continue collaboration with the Gastonia Housing Authority to connect participants in first time homebuyer assistance provided by the City. As noted by HA staff, enabling residents and voucher holders to purchase homes allows their previously-occupied units or previously-held vouchers to be available to other low-income households waiting for housing.

### **Discussion**

## Program Specific Requirements

### AP-90 Program Specific Requirements - 91.420, 91.220(I)(1,2,4)

#### Introduction

Projects planned with 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.

#### 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.	90.00%

#### HOME Investment Partnership Program (HOME)

##### Reference 24 CFR 91.220(I)(2)

1. A description of other forms of investment being used beyond those identified in Section 92.205 is

as follows:

2. A description of the guidelines that will be used for resale or recapture of HOME funds when used for homebuyer activities as required in 92.254, is as follows:
3. A description of the guidelines for resale or recapture that ensures the affordability of units acquired with HOME funds? See 24 CFR 92.254(a)(4) are as follows:
4. Plans for using HOME funds to refinance existing debt secured by multifamily housing that is rehabilitated with HOME funds along with a description of the refinancing guidelines required that will be used under 24 CFR 92.206(b), are as follows:
5. If applicable to a planned HOME TBRA activity, a description of the preference for persons with special needs or disabilities. (See 24 CFR 92.209(c)(2)(i) and CFR 91.220(l)(2)(vii)).
6. If applicable to a planned HOME TBRA activity, a description of how the preference for a specific category of individuals with disabilities (e.g. persons with HIV/AIDS or chronic mental illness) will narrow the gap in benefits and the preference is needed to narrow the gap in benefits and services received by such persons. (See 24 CFR 92.209(c)(2)(ii) and 91.220(l)(2)(vii)).
7. If applicable, a description of any preference or limitation for rental housing projects. (See 24 CFR 92.253(d)(3) and CFR 91.220(l)(2)(vii)). Note: Preferences cannot be administered in a manner that limits the opportunities of persons on any basis prohibited by the laws listed under 24 CFR 5.105(a).

## Attachments

Citizen Participation Comments

# LOCALIQ

StarNews | The Dispatch | Times-News  
Sun Journal | The Daily News | The Star  
The Free Press | Gaston Gazette

PO Box 631745 Cincinnati, OH 45263-1745

**PROOF OF PUBLICATION**

Darrell Dye  
Nancy Welsh  
City of Gastonia - Housing and Community Engagement  
Department  
PO Box 1748  
Gastonia NC 28053-1748

STATE OF NORTH CAROLINA, COUNTY OF GASTON

The Gaston Gazette, a newspaper printed and published in the city of Gastonia, and of general circulation in the County of Gaston, State of North Carolina, and personal knowledge of the facts herein state and that the notice hereto annexed was published in said newspapers in the issue dated:

04/18/2023

and that the fees charged are legal.  
Sworn to and subscribed before on 04/18/2023

Notary Public  
*Kaitlyn Felty*  
Notary, State of WI, County of Brown  
3/17/23

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State of Wisconsin

CITY OF GASTONIA  
PROPOSED ANNUAL ACTION PLAN  
Notice of Public Hearing/Notice of Public Comment Period  
SCHEDULE: The City of Gastonia is developing a multi-year plan (AP) for Fiscal Year (FY) 2023-2024 which begins July 1, 2023 and ends June 30, 2024. The Annual Action Plan will outline the use of federal funds received from the U.S. Department of Housing and Urban Development. Funds include the Community Development Block Grant, Emergency Rental Assistance (ERA) and HOME Investment Partnerships (entitled funds (HOME)). The proposed funding will address the economic, physical, social, and human development needs of low- and moderate-income residents of Gastonia, the HOME Community Development Fund and the Gaston HealthCareCare County Continuum of Care.

Public Hearing: A public hearing will be conducted on **DATE/TIME** (Monday, May 8th 2023 - 6:30 PM) LOCAL TIME City of Gastonia, Gaston Municipal Business Center  
150 S. York Street, Room 121  
Gastonia, NC 28053

All Neighborhood/Community Organizations, Non-profit Organizations, Public and Private Housing Providers, and Citizens of Gastonia and Gaston County are invited to attend and voice concerns on the needs of the area. Persons with disabilities or who otherwise need assistance should contact Darrell Dye, City Clerk, at (704) 782-1100 in advance of the public hearing.

COMMENT PERIOD: Public comment period for the FY2023-24 Annual Action Plan begins on Monday, April 24, 2023 and ends on Friday, April 28, 2023 through 5:00 PM. Public comment period is Friday, April 21, 2023 through Sunday, May 14, 2023.

WRITTEN COMMENTS: The City of Gastonia will receive written comments until 5:00 p.m., May 28, 2023. All comments regarding the City's proposed plan may be submitted as follows:  
Darrell Dye, Director of Housing and Community Engagement  
City of Gastonia  
PO Box 1748  
Gastonia, NC 28053-1748  
Darrell.Dye@gastoniaNC.gov

AVAILABILITY OF REVIEW MATERIALS: Copies of the draft PROPOSED Annual Action Plan will be available for public review starting Friday, April 28, 2023. The document is available on the City's website at [www.cityofgastonia.com](http://www.cityofgastonia.com) or may be provided by email request.

All the above information is correct as of the date of this notice. The City of Gastonia will make every effort to ensure that the information is accurate and up-to-date. This information is not intended to be a contract and is subject to change without notice. For more information, please contact the City of Gastonia at (704) 782-1100 or visit the City of Gastonia website at [www.cityofgastonia.com](http://www.cityofgastonia.com).  
City of Gastonia  
150 S. York Street, Room 121  
Gastonia, NC 28053-1748  
April 19, 2023 09:25:16



City of Gaston  
Annual Action Plan FY23-24  
Public Comments (April 28, 2023 – May 28, 2023)

Date and Time Comments Received	Citizen Name and Email	Comment Type	Citizen's Comment/Question	Staff Response	Explanation if comment not included in the plan
5/8/23 Public Hearing	Cheryl Little, onr legoqvsc12@gmail.com	Verbal <input checked="" type="checkbox"/> Written	<ul style="list-style-type: none"> <li>She suggests using hotel vouchers to shelter homeless persons.</li> <li>Training/education on/around services should be more of a focus.</li> <li>She does not like our use of drop centers because of a level "that makes the rich richer".</li> <li>She wants more immediate action to be in place in need.</li> <li>She wants to support organizations that "show results" and can prove they have helped people get off the streets.</li> <li>She'd's main concern is the homeless population.</li> </ul>	<p>Staff Response: There are current program sources in place that offer vouchers:</p> <ol style="list-style-type: none"> <li>HOME Tenants-Based Rental Assistance</li> <li>the Continuum of Care in conjunction with the Gastonia Housing Authority (GHA) managed Emergency Housing Vouchers.</li> </ol> <p>The Continuum of Care and collaborative agencies offer homeless resources and assistance to the homeless population. During the period of COVID additional funds from various federal, state and municipal agencies offered homeless resources and assistance.</p>	
5/8/23 Public Hearing	Dr. Rhene Crawford craforkepts@char.net@yahoo.com	Verbal <input checked="" type="checkbox"/> Written	How do the criteria for staying at the cold weather shelter differ from the regular shelter?	<p>STAFF RESPONSE: Staff addressed the question however no community or action required in relation to actionable items as necessary for the FY2023 Annual Action Plan.</p>	
5/8/23 Public Hearing	Daniel Caudill danielcaudill@outlook.com	Verbal <input checked="" type="checkbox"/> Written	Should an experience of offering a food service job training course at the Salvation Army shelter and have difficulty recruiting persons.	<p>STAFF RESPONSE: No comment or action required.</p>	
<p><b>OTHER COMMENTS RECEIVED</b></p> <p>During the public comment as referenced above, no additional comments were received.</p>					





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HOUSING & NEIGHBORHOODS DIVISION  
formerly Community Development Division  
PO Box 1748  
Gastonia, NC 28053-1748  
(704) 866-6752

## City of Gastonia RESALE/RECAPTURE POLICY

### FEDERAL REGULATION REFERENCE

The City of Gastonia revised its policy in accordance with the HOME Investment Partnership (HOME) Program, as cited in federal regulations located at:

- 24 CFR 92, specifically
  - 92.253(a)(4)
  - 92.254 *Qualification as Affordable Housing*
  - 92.504(c)(5)
- 24 CFR 93, specifically
  - 93.305
- in accordance with the 2013 final HOME Rule

as all citations relate to *Resale and Recapture Provisions*.

### PURPOSE

With the issuance and receipt of HOME Investment Partnership (HOME) Program funds from the U.S. Department of Housing and Urban Development (HUD), the City of Gastonia establishes its basic requirements for resale and recapture provisions for its homebuyer-related housing projects through this policy. Eligible programs to assist homebuyers include acquisition, rehabilitation of single-family low-income housing or new construction of single-family for-sale housing to individual low-income homebuyers. The City of Gastonia utilizes its HOME funds for:

1. *homebuyer down-payment assistance and closing costs,*
2. *homebuyer acquisition, and*
3. *homebuyer new construction activities.*

### BACKGROUND

Section 215 of the HOME statute establishes specific requirements that all HOME-assisted homebuyer housing must meet in order to qualify as affordable housing. Specifically, all HOME-assisted homebuyer housing must:

1. *have an initial purchase price that does not exceed 95 percent of the median purchase price for the area,*
2. *be the principal residence of an owner whose family qualifies as low-income at the time of purchase, and*
3. *be subject to either resale or recapture provisions.*

The HOME statute states that resale provisions must limit subsequent purchase of the property to income-eligible families, provide the owner with a fair return on investment, including any improvements, and ensure that the housing will remain affordable to a reasonable range of low-income



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## City of Gastonia RESALE/RECAPTURE POLICY

homebuyers. The HOME statute also specifies that recapture provisions must recapture the HOME investment from available net proceeds in order to assist other HOME-eligible families. Each PJ must establish its resale and/or recapture provisions in writing and submit the provisions to HUD for approval.

### DEFINITIONS

The following terms are related to both the **resale** and **recapture** provisions:

- A. **Amortized Loan** – A loan with a repayment method where over the life of the loan, the amount borrowed is repaid gradually through regular, monthly payments of principal and interest. For Homebuyers Assistance/Down-payment Assistance, the initial payment may be deferred for up to five (5) years and would then be repaid based on an amortization schedule (deferred payment loan satisfied at 20% each year for the five (5) year period.)
- B. **Development Subsidy**: A development subsidy is the difference between the cost to develop housing and the fair market price (appraised value). For example, the City of Gastonia may provide grant and/or loan funds to a developer to construct or rehabilitate multi-family housing. While the subsidy does not go directly to the homebuyer, it helps make the development of the housing unit feasible.
- C. **Direct HOME homebuyer subsidy** means the amount of HOME assistance including any program income that enabled the homebuyer to buy the unit. The direct subsidy includes down payment, closing costs, interest subsidies, or other HOME assistance provided directly to the homeowner (beneficiary), and reduces the purchase price from fair market value to an affordable price or other subsidizes the purchase price. (Note: Only direct subsidy to the homebuyer is subject to recapture.)
- D. **Fair Return on Investment** means the homebuyer's original investment in the property and the increase in the market value attributable to homebuyer investments in or capital improvements to the property.
- E. **Forgivable Loan** – This loan type is designed to promote affordability and is forgiven when a set series of requirements are met. The requirements are based on the HOME program's affordability period; the loan is forgiven at the end of the period of affordability, and is based upon the amount of HOME assistance provided as referenced at 24 CFR 92.254.





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## City of Gastonia RESALE/RECAPTURE POLICY

### DEFINITIONS, CONT.

- F. **Income-eligible person or family** shall mean a person or family having an income at or less than 80% of Area Median Income (AMI) according to the Charlotte-Gastonia- Rock Hill Metropolitan Area HUD Income Limits for family size.
- G. **Net Sales Proceeds** means the sales price minus superior loan repayment (other than HOME funds) and any closing costs. (Note: The City will limit the amount subject to recapture to the net proceeds available from the sale.)
- H. **Noncompliance** Failure to comply with the resale or recapture requirements means that:
- The original HOME-assisted homebuyer no longer occupies the unit as his/her principal residence (i.e., unit is rented or vacant), or
  - The home was sold during the period of affordability and the applicable resale or recapture provisions were not enforced.
- I. **Participating Jurisdiction (PJ)** Refers to the City of Gastonia as designated by HUD.
- J. **Original Homebuyer** means the person or family to whom Subrecipient/Developer conveys the property after construction. The term shall not include any subsequent purchaser.
- K. **Original Investment** means funds provided by the Original Homebuyer for the purchase of the Property.
- L. **Period of Affordability** means the period which begins on the date the project is closed out in IDIS with a qualified beneficiary and ends on the date after the number of years prescribed in the chart found in 24 CFR 92.253(a)(4).
- M. **Written Agreement** a separate legal document from any loan instrument which, at minimum complies with the requirements at 92.504(c)(5) of the HOME Rule, and accurately depicts the resale or recapture provision with the homebuyer before or at the time of sale.



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## City of Gastonia RESALE/RECAPTURE POLICY

### HOMEBUYER REQUIREMENTS

Per the regulations at 92.254 (a)(5), the City of Gastonia determines that units which are to be qualify as affordable housing, must meet the following criteria:

1. Be single-family modest housing
2. Be acquired by a low -income family as its principal residence, and
3. The low-income buyer must meet the affordability requirements for a specific period of time as determined by the amount of assistance provided.

### PERIOD OF AFFORDABILITY

Federal regulations impose minimum restrictions on long-term affordability. The City of Gastonia reserves the right to require stricter standards at its discretion upon perceived risks associated with each project evaluation.

HOME rules tie the length of a unit's affordability period to the amount of HOME investment in the units. 24 CFR 92.254(a)(4) mandates the following timelines for homeownership unit affordability periods if the total HOME investment (resale) or direct subsidy (recapture) in the units is:

Total HOME investment	Minimum Period of Affordability
Less than \$15,000	5 years
\$15,000 - \$40,000	10 years
More than \$40,000	15 years

During the period of affordability, the homebuyer shall only be permitted to refinance the property when the new interest rate is a savings of at least 1.5% (one and a half percent) interest rate savings over the life of the loan to the homeowner and there is no cash out at closing.

The City of Gastonia shall be governed these periods by a written agreement that will include an explicit definition of the required affordability period for the project. It is the intention to use the federally required minimum affordability period as listed above unless otherwise directed by staff to require a longer affordability period. The affordability period shall commence on the day that the project is entered into the federal Integrated Disbursement and Information System (IDIS) as a completed project.

NOTE:

❖ **RESALE-Period of Affordability:** Based upon the total amount of HOME funds invested into housing.

**RECAPTURE-Period of Affordability:** Based upon the *direct HOME subsidy provided to the homebuyer that enables the buyer to purchase the unit.*



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## City of Gastonia RESALE/RECAPTURE POLICY

### PERIOD OF AFFORDABILITY, CONT.



- ❖ If HOME assistance is used to only develop the unit and *are not used to lower the purchase price from fair-market value (FMV) to an affordable price*, then the resale provision must apply.

#### Refinancing Guidelines for Multi-Family Housing

As referenced initially in the 2015-2020 Consolidated Plan and each subsequent plans until further noted, the City of Gastonia/Participating Jurisdiction (PJ) will *not* use HOME funds to refinance multi-family housing or single family housing during this Consolidated Plan period. This section specifically applies to multi-family housing refinance. In the event the City decides to amend its current or future Consolidated Plan and Annual Action Plan to allow for this activity, the following provisions would apply:

1. If the City determines it will use its HOME Investment Partnership Program funds for refinancing of multi-family housing, these guidelines describe the conditions under which the City will refinance existing debts.
  - i. Affordability Period

The minimum period of affordability shall be fifteen (15) years. Affordability will be based upon the amount of HOME funds invested or other mitigating factors as required. Once the period of affordability is determined, it will be specified in all contractual agreements.
  - ii. Deeming the Activity Eligible

Any multi-family housing project seeking refinance assistance must demonstrate that rehabilitation is the *primary* objective of the refinance request when determining the eligible activity. The City will evaluate the per unit cost of rehabilitation in relation to the overall refinancing costs. File records will denote the purpose of the rehabilitation, which are listed as follows:

    - (1) maintain current affordable units,
    - (2) to create additional affordable units or
    - (3) both
  - iii. Management Review

The City will review the overall management practices to ensure divestment has not occurred; furthermore, it must be determined that the long-term needs, affordability, and feasibility of the project are met to prevent future need for refinancing the project. The review must also ensure that the target population served can be documented for the remaining affordability period of the project.



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formerly Community Development Division  
PO Box 1748  
Gastonia, NC 28053-1748  
(704) 866-6752

## City of Gastonia RESALE/RECAPTURE POLICY

### ESTABLISHED PROVISIONS: RECAPTURE AND RESALE

24 CFR 92.254 (a)(5) establishes the Resale and Recapture Provisions, and to which the City of Gastonia will comply.

#### RECAPTURE PROVISIONS

##### RECAPTURE PROVISION-SUMMARY

The City of Gastonia has adopted the *recapture* provision for its HOME-assisted Down Payment Assistance Program. The City of Gastonia is the grantee and direct recipient of entitlement funds, and administers the homebuyer down payment and closing cost assistance program. The program is available to residents of eligible member township agencies. Each consortia-participating member agrees to abide by all applicable provisions of *recapture*. All provisions of *recapture* will be incorporated in a legally adopted written agreement.

##### A. Down Payment Assistance

The Down Payment Assistance Program is a *direct subsidy* to the beneficiary to assist with down payment and closing cost, and is subject to recapture if any clause of default is triggered. Only direct subsidy to the homebuyer is subject to recapture. Default occurs when the beneficiary fails to use the property as the primary residence for the duration of the affordability period.

##### B. Forgivable Loan

All homebuyer assistance/down payment assistance funds shall be provided as a forgivable loan amortized over the affordability period, typically five (5) years, as evidenced by a note secured by a deed of trust on the property and a legally adopted written agreement.

##### C. Default Trigger(s)

If the homebuyer does not continue to occupy the property as the principal residence for the duration of the period of affordability, a pro-rated amount of the unsatisfied affordability period of the HOME homeowner assistance funds shall be due and payable. The written agreement with the homebuyer should state *"the homebuyer agrees to provide staff with a written certificate of residence status each year or allow staff to verify principle residence status annually. Subletting or renting is not permitted."*

##### D. Recapture and Net Proceeds

Net sales proceeds on a pro-rated basis occurs when the original homebuyer sells the property during the affordability period. Net proceeds are the funds remaining from the





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## City of Gastonia RESALE/RECAPTURE POLICY

sale of the property by the original homebuyer less the repayment of the outstanding balance on any superior mortgage and any closing costs. To the extent that net proceeds are available at closing, all or a portion of the HOME funds are due and payable.

### 1. Foreclosure Recapture

In the event of foreclosure, the Lender or the City may not require the Borrower to repay an amount greater than the net proceeds available after the foreclosure sale.

## RESALE PROVISIONS

The City of Gastonia has adopted the resale provision for its HOME-assisted homeownership housing *when a development subsidy is provided to a subrecipient/developer and there is no direct subsidy to the homebuyer*. All development subsidy funds shall be provided as a grant to the subrecipient/developer over the affordability period as evidenced by a note secured by a deed of trust on the property and in a legally adopted written agreement.

### Resale Agreement

The Agreement provides, among other things, for the City to provide one or more grants to the Subrecipient to construct improvements on the Property. The source of funding for said grant is a grant to the City from the United States Department of Housing and Urban Development (hereinafter "HUD") under the HOME Investments Partnership Program as set forth in 24 C.F.R. Part 92 (hereinafter "HOME Program"). The HOME program requires that the affordability of properties receiving subsidies from the program be preserved.

The Agreement further provides that as a condition of making said grants, the Subrecipient has agreed to restrict the property as follows to meet the requirement of the HOME Program.

When drafting agreements, the City incorporates the resale provisions when providing HOME funds in the form of a development subsidy to a subrecipient/developer of homebuyer affordable single family projects.

### Covenants, Restrictions and Requirements

Concerning the resale provision, and agreement between the applicable parties will adhere to the following terms:

- i. The subrecipient agrees that if the property is sold during the period of affordability, the property shall be sold to and occupied by a low-income individual and/or family, and the property will serve as individual and/or family's the principal residence. The determination of whether a purchaser is income-



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## City of Gastonia RESALE/RECAPTURE POLICY

eligible shall be determined as of the date the property is sold or transferred to such next (subsequent) purchaser.

### RESALE PROVISIONS, CONT.

- ii. If the Original Purchaser sells the Property during the Period of Affordability, the Original Purchaser shall be eligible to receive a fair return on investment. Fair Market Return shall be established by determining the amount of Original Purchaser's Original Investment plus any Capital Improvements made by the Original Purchaser and multiplying that amount by average annual percentage change in the Consumer Price Index – All Urban Consumers (CPI-U) for the South Region (base period-1982-84=100) between the date of conveyance to the Original Purchaser and the date of sale by the Original Purchaser to the next (subsequent) purchaser.
- iii. If the Original Purchaser does not continue to occupy the property as the principal residence, the Original Purchaser will be responsible for repaying the full amount of HOME investment in a lump sum immediately.
- iv. If the Original Purchaser does not continue to occupy the property as the principal residence, the subrecipient may assist in finding a subsequent purchaser. The subsequent purchaser may only purchase the property if qualified as low-income.

The Period of Affordability and the provisions of this Declaration shall be suspended upon foreclosure by a lender or other transfer in lieu of foreclosure, if the foreclosure or transfer recognizes any contractual or legal rights of the City or other eligible persons to take actions that would avoid the termination of low-income affordability. If, however, at any time thereafter during the Period of Affordability the owner of record prior to such foreclosure or transfer



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## City of Gastonia RESALE/RECAPTURE POLICY

### RESALE PROVISIONS, CONT.

- i. in lieu of foreclosure or any entity that includes the former owner or those with whom the former owner has family or business ties, obtains an ownership interest in the Property, then the Period of Affordability and provisions of this declaration shall be revived according to their original terms.
- ii. The written agreement with the homebuyer should state "the homebuyer agrees to provide staff with a written certificate of residence status each year or allow staff to verify principle residence status annually. Subletting or renting is not permitted."
- iii. The Subrecipient acknowledges and agrees that at all times during the Period of Affordability, the Property shall qualify and be maintained as affordable housing as described in the HOME Program regulations (24 C.F.R. Part 92, as it may be amended).
- iv. This Declaration is made for the benefit of the City and HUD, and confers upon the City, HUD, and their respective successors and assigns the right, without limitations to enforce the provisions of this Declaration.
- v. This Declaration shall not be amended, revised, or terminated except by a written instrument, without the prior written consent of the City and HUD and any such amendment shall be duly recorded in the office of the Register of Deeds for Gaston County, North Carolina.

The covenants and restrictions set forth shall be deemed covenants running with the land and, except as provided in Paragraph 1, shall pass to and be binding upon the Subrecipient's heirs, assigns and successors in title to the Property or any Property or any part thereof; provided, however, that upon the termination of this Declaration in accordance with the terms hereof, said covenants, reservations, and restrictions shall automatically expire. Each and every contract, deed or other instrument hereafter executed covering or conveying the Property or any portion thereof shall conclusively be held to have been executed, delivered, and accepted subject to the covenants, reservations, and restrictions set forth herein whether or not said covenants, reservations, and restrictions are set forth in such contract, deed, or other



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## City of Gastonia RESALE/RECAPTURE POLICY

### RESALE PROVISIONS, CONT.

- vi. instruments. If a portion or portions of the Property are conveyed, all of such covenants, reservations, and restrictions shall run with and apply to each and every portion of the Property.
- vii. Upon expiration of the Period of Affordability, this Declaration shall automatically terminate and be of no further force and effect. The Subrecipient may, with the prior written consent of the City, record with the Gaston County Register of Deeds a written instrument further evidencing the termination of this Declaration.
- viii. If a violation of any of the provisions hereof occurs or is threatened, the City and its successors and assigns may institute and prosecute any proceeding at law or in equity to abate, prevent, or enjoin any such violation or threatened violation, to compel specific performance hereunder, or to recover monetary damages caused by such violation or threatened violation. The provisions hereof are imposed upon and made applicable to the Land and shall run with the Land and shall be enforceable against the Owner or any other person or entity that has or shall have an ownership interest in any residential unit included in the Development at the time of such violation or threatened violation. No delay in enforcing any provision hereof as to any breach or violation shall impair, damage, or waive the right of any party entitled to enforce the provisions hereof or to obtain relief against or recover for the continuation or repetition of such breach or violation or any similar breach or violation hereof at any later time or times.
- ix. If any provision hereof shall be invalid, illegal or unenforceable, the validity, legality and enforceability of the remaining portions hereof shall not in any way be affected or impaired thereby.

### RESALE: CONTINUED AFFORDABILITY

To ensure that HOME-assisted homebuyers receive a fair return on his or her investment (as cited at [24 CFR 93.305](#)), the City of Gastonia must ensure that its resale provision will remain affordable to a reasonable range of low-income homebuyers. To accomplish this objective, the City of Gastonia:





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## City of Gastonia RESALE/RECAPTURE POLICY

### RESALE: CONTINUED AFFORDABILITY, CONT.

1. *Determines the appropriate targeted population of low-income buyers within the 50-80% range of the AMI for the Charlotte-Gaston-Concord Metropolitan Statistical Area (MSA) within the Gaston County Consortium area,*
2. *Determined affordability is defined and determined by measuring thirty (30%) percent of the homebuyer's (and all household members') income that must be spent on the fixed costs of owning a home: principal, interest, property taxes, and insurance (PITI), and where applicable Home Owner Association (HOA) dues/fees. This is the maximum percentage of income that a household should use, however the City may allow an exception for other compensating factors as noted.*
3. *Determine what is affordable for low-income buyers as dictated by area sales and comparable market analyses (CMA) of properties within the targeted sales area as the market dictates.*

The PJ will review each project and set a resale price that provides a fair return to the original homebuyer to ensure that the property is affordable to the target buyer pool. Under certain conditions, to ensure that the original low-income homebuyer receives fair compensation/return and to confirm the units continued affordability for the populace it is designed to serve, it may be necessary for the PJ to provide HOME assistance to the subsequent low-income homebuyer or provide a list of mortgage lenders that offer comparative programs/mortgage products that provide direct subsidy mortgage products that are similar to those of the HOME Program that would keep the housing unit affordable for the subsequent buyer.

**NOTE:** *The PJ cannot require that the resale price be set based solely upon what is affordable to a specific homebuyer.*

### IMPOSING RESALE AND RECAPTURE PROVISIONS

Resale and recapture provisions will be enforced by:

1. Written agreement
2. Enforcement mechanisms as applicable based upon either resale or recapture and
3. Noncompliance
4. Foreclosure
5. Recapture
6. Refinance
7. Investment of additional HOME funds
8. Ongoing monitoring



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## City of Gastonia RESALE/RECAPTURE POLICY

Applicable enforcement mechanisms based on either resale or recapture are referenced in the previous sections.

### INELIGIBLE COMPONENTS

#### Multi-Family Housing-Refinancing Debt

The PJ will not use HOME funds to refinance multi-family housing or single family housing for rehabilitation.

#### American Dream Down-Payment Initiative (ADDI)

The PJ will not receive ADDI funds.

**Grantee SF-424's and Certification(s)**

<a href="#">View Burden Statement</a>		OMB Number: 4540-0006 Expiration Date: 11/30/2025	
<b>Application for Federal Assistance SF-424</b>			
* 1. Type of Submission: <input type="radio"/> Pre-application <input checked="" type="radio"/> Application <input type="radio"/> Changed/Corrected Application		* 2. Type of Application: <input checked="" type="radio"/> New <input type="radio"/> Continuation <input type="radio"/> Revision	
		* If Revision, enter appropriate letter(s): <input type="text"/>	
		* Other (Specify): <input type="text"/>	
* 3. Date Received: <input type="text"/>		* 4. Applicant Identifier: E-23-00-37-0006	
* 5. Federal Entity Identifier: 56-6000227		* 5b. Federal Award Identifier: <input type="text"/>	
<b>State Use Only:</b>			
* 6. Date Received by State: <input type="text"/>		* 7. State Application Identifier: <input type="text"/>	
<b>8. APPLICANT INFORMATION:</b>			
* a. Legal Name: CITY OF GASTONIA			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 56-6000227		* c. UFI: NY 8402 20MLP9	
* d. Address:			
* Street:	100 S. YORK ST		
* Street2:	PO BOX 1748		
* City:	GASTONIA		
* County/Parish:	GASTON		
* State:	NC: North Carolina		
* Province:	<input type="text"/>		
* Country:	USA: UNITED STATES		
* Zip / Postal Code:	28053-1748		
* e. Organizational Unit:			
Department Name: HOUSING & COMMUNITY ENGAGEMENT		Division Name: HOUSING & NEIGHBORHOODS	
* f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	Mr.	* First Name:	MICHAEL
Middle Name:	C.		
* Last Name:	DEOLLES		
Suffix:	<input type="text"/>		
Title:	<input type="text"/>		
Organizational Affiliation: CITY MANAGER			
* Telephone Number:	704-866-6179	Fax Number:	704-864-6607
* Email:	MICHAEL.DEOLLES@GASTONIANC.GOV		

Application for Federal Assistance SF-424	
<b>* 9. Type of Applicant 1: Select Applicant Type:</b> <input type="text" value="C: City or Township Government"/>	
Type of Applicant 2: Select Applicant Type: <input type="text"/>	
Type of Applicant 3: Select Applicant Type: <input type="text"/>	
<b>* Other (specify):</b> <input type="text"/>	
<b>* 10. Name of Federal Agency:</b> <input type="text" value="US DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT"/>	
<b>11. Catalog of Federal Domestic Assistance Number:</b> <input type="text" value="14-218"/>	
CFDA Title: <input type="text" value="CDBG - ENTITLEMENT"/>	
<b>* 12. Funding Opportunity Number:</b> <input type="text"/>	
<b>* Title:</b> <input type="text"/>	
<b>13. Competition Identification Number:</b> <input type="text"/>	
<b>Title:</b> <input type="text"/>	
<b>14. Areas Affected by Project (Cities, Counties, States, etc):</b> <input type="text"/> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span>Add Attachment</span> <span>Delete Attachment</span> <span>View Attachment</span> </div>	
<b>* 15. Descriptive Title of Applicant's Project:</b> <input type="text" value="COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG): ADMINISTRATION, ACQUISITION, FAIR HOUSING, PARTNERSHIPS W/WAIVER BASED INITIATIVES, HOUSING REHABILITATION (OWNERSHIP &amp; RENTAL), PUBLIC INFRASTRUCTURE, SECTION8"/>	
Attach supporting documents as specified in agency instructions: <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span>Add Attachments</span> <span>Delete Attachments</span> <span>View Attachments</span> </div>	



**Application for Federal Assistance SF-424**

16. Congressional Districts Of:

\* a. Applicant:  \* b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

\* a. Start Date:  \* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="52497"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text" value="18289"/>
* g. TOTAL	<input type="text" value="580796"/>

19. Is Application Subject to Review By State Under Executive Order 12872 Process?

a. This application was made available to the State under the Executive Order 12872 Process for review on

b. Program is subject to E.O. 12872 but has not been selected by the State for review.

c. Program is not covered by E.O. 12872.

20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)

Yes  No

If "Yes", provide explanation and attach

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:  \* First Name:

Middle Name:


\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:

Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate date(s): <input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received: <input type="text"/>	4. Applicant Identifier: <input type="text"/> B-23-B2-37-00.6	
5a. Federal Entity Identifier: <input type="text"/> 56-6020227	5b. Federal Award Identifier: <input type="text"/> 56-5000227	
State Use Only:		
6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
8. APPLICANT INFORMATION:		
* a. Legal Name: <input type="text"/> CITY OF GASTONIA		
* b. Employer/Taxpayer Identification Number (E/TIN): <input type="text"/> 56-6000227	* c. UEI: <input type="text"/> NY9DC280CL88	
d. Address:		
* Street1: <input type="text"/> 150 S. YORK ST.	<input type="text"/>	
Street2: <input type="text"/> PO BOX 1748	<input type="text"/>	
* City: <input type="text"/> GASTONIA	<input type="text"/>	
County/Parish: <input type="text"/> GASTON	<input type="text"/>	
* State: <input type="text"/> NC: North Carolina	<input type="text"/>	
Province: <input type="text"/>	<input type="text"/>	
* Country: <input type="text"/> USA: UNITED STATES	<input type="text"/>	
* Zip / Postal Code: <input type="text"/> 28053-1748	<input type="text"/>	
e. Organizational Unit:		
Department Name: <input type="text"/> HOUSING & COMMUNITY ENGAGEMENT	Division Name: <input type="text"/> HOUSING & EXTERMINATORS	
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: <input type="text"/> Mr.	* First Name: <input type="text"/> MICHAEL	<input type="text"/>
Middle Name: <input type="text"/> G.	<input type="text"/>	
* Last Name: <input type="text"/> DEPLEES	<input type="text"/>	
Suffix: <input type="text"/>	<input type="text"/>	
Title: <input type="text"/> CITY MANAGER	<input type="text"/>	
Organizational Affiliation: <input type="text"/> CITY OF GASTONIA		
* Telephone Number: <input type="text"/> 704-866-5710	Fax Number: <input type="text"/> 704-866-0607	
* Email: <input type="text"/> MICHAEL.PROFFER@GASTONIA.NC.GOV		

Application for Federal Assistance SF-424	
* 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="City or Township Investment"/>	
Type of Applicant 2: Select Applicant Type: <input type="text"/>	
Type of Applicant 3: Select Applicant Type: <input type="text"/>	
* Other (specify): <input type="text"/>	
* 10. Name of Federal Agency: <input type="text" value="U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT"/>	
11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14-239"/>	
CFDA Title: <input type="text" value="HOME Investment Partnership Program"/>	
* 12. Funding Opportunity Number: <input type="text" value=""/>	
* Title: <input type="text" value=""/>	
13. Competition Identification Number: <input type="text"/>	
Title: <input type="text"/>	
14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
* 15. Descriptive Title of Applicant's Project: <input type="text" value="HOME Investment Partnership (HOME) Program: Administration, Acquisition, Affordable Housing (rental &amp; ownership), CHDO Activity &amp; Operation, Education/Counseling, Housing Rehabilitation (homeowner &amp; rent)"/>	
Attach supporting documents as specified in agency instructions <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/>	

**Application for Federal Assistance SF-424**

16. Congressional Districts Of:

\* a. Applicant:  \* b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed

17. Proposed Project:

\* a. Start Date:  \* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="820,116.00"/>
* b. Applicant	<input type="text" value=""/>
* c. State	<input type="text" value=""/>
* d. Local	<input type="text" value=""/>
* e. Other	<input type="text" value=""/>
* f. Program Income	<input type="text" value="19,400.00"/>
* g. TOTAL	<input type="text" value="839,516.00"/>

\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?

a. This application was made available to the State under the Executive Order 12372 Process for review on

b. Program is subject to E.O. 12372 but has not been selected by the State for review

c. Program is not covered by E.O. 12372

\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)

Yes  No

If "Yes", provide explanation and attach:

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:  \* First Name:

Middle Name:


\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:





ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4340-006  
Expiration Date: 02/28/2025

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 this 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 (0948-0042), 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.

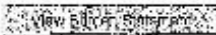
As the duly authorized representative of the applicant, I certify that the applicant:

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. §§4726-4763) 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. §§4601 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. 86-352) 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, 168A, 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) §§552 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 d(3) and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title V II 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. §31451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 175(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
	City Manager
APPLICANT ORGANIZATION	DATE SUBMITTED
City of Gastonia	06/29/2023

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**ASSURANCES - NON-CONSTRUCTION PROGRAMS**

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 (0348-0040), 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 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:

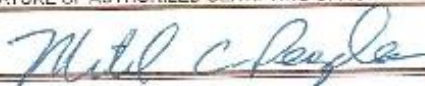
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| <ol style="list-style-type: none"> <li>1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.</li> <li>2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.</li> <li>3. 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.</li> <li>4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.</li> <li>5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4720-4723) relating to prescribed standards for 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).</li> <li>6. Will comply with all Federal statutes relating to nondiscrimination. 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</li> </ol> | <p>Act of 1973, as amended (20 U.S.C. 6794), 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 Offense 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. §§8601, 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.</p> <ol style="list-style-type: none"> <li>7. 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 or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.</li> <li>8. Will comply, as applicable, with 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.</li> </ol> |
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9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 278a-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.
10. Will comply, if applicable, 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.
11. 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 11735; (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).
12. 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.
13. 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 Archeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. 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.
17. 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."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. 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 City Manager
APPLICANT ORGANIZATION City of Gastonia	DATE SUBMITTED 06/24/2023

Standard Form 424D (Rev. 7-97) Back



## ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0002  
Expiration Date: 02/28/2022

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 ensure 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. §§4/28-4/63) 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. 300, 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. §§1691-1693, and 1685-1696), 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. 92-266), 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. 91-618), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§525 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dc-3 and 290 dc-2), 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. §§801 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.

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Prescribed by OMB Circular A-102

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. §§468a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1998 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 City Manager
APPLICANT ORGANIZATION City of Gastonia, NC	DATE SUBMITTED 2/10/2023

SF-424D (Rev. 7-87) Back

**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.

**Uniform Relocation Act and 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, (42 U.S.C. 4601-4655) and implementing regulations at 49 CFR Part 24. It has in effect and is following a residential anti-displacement and relocation assistance plan required under 24 CFR Part 42 in connection with any activity assisted with funding under the Community Development Block Grant 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-L.L.L., "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 Community Development Block Grant, HOME, Emergency Solutions Grant, and Housing Opportunities for Persons With AIDS funds are consistent with the strategic plan in the jurisdiction's consolidated plan.

**Section 3** -- It will comply with section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) and implementing regulations at 24 CFR Part 75.

  
Signature of Authorized Official

  
Date

  
Title

## Specific Community Development Block Grant 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 plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that have been developed in accordance with the primary objective of the CDBG program (i.e., the development of viable urban communities, by providing decent housing and expanding economic opportunities, primarily for persons of low and moderate income) and requirements of 24 CFR Parts 91 and 570.

**Following a Plan** -- It is following a current consolidated plan 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 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 CDBG-assisted activities which the grantee certifies are designed to meet other community development needs having 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 (see Optional CDBG Certification).

**2. Overall Benefit.** The aggregate use of CDBG funds, including Section 108 guaranteed loans, during program year(s) \_\_\_\_\_ [a period specified by the grantee 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.

In addition, 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 U.S.C. 2000c) and the Fair Housing Act (42 U.S.C. 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.

  
Signature of Authorized Official

06/12/2025  
Date

  
Title

**OPTIONAL Community Development Block Grant Certification**

Submit the following certification only when one or more of the activities in the action plan are designed to meet other community development needs having particular urgency as specified in 24 CFR 570.209(c):

The grantee hereby certifies that the Annual Plan includes one or more specifically identified CDBG-assisted activities which are designed to meet other community development needs having 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 to meet such needs.

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title



**Specific HOME Certifications**

The HOME participating jurisdiction certifies that:

**Tenant Based Rental Assistance** -- If it plans to provide tenant-based rental assistance, the tenant-based rental assistance is an essential element of its consolidated plan.

**Eligible Activities and Costs** -- It is using and will use HOME funds for eligible activities and costs, as described in 24 CFR §§92.205 through 92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in §92.214.

**Subsidy layering** -- Before committing any funds to a project, it will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing;

  
Signature of Authorized Official

06/12/2023  
Date

  
Title

## Emergency Solutions Grants Certifications

The Emergency Solutions Grants Program recipient certifies that:

**Major rehabilitation/conversion/renovation** – If an emergency shelter's rehabilitation costs exceed 75 percent of the value of the building before rehabilitation, the recipient will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed rehabilitation.

If the cost to convert a building into an emergency shelter exceeds 75 percent of the value of the building after conversion, the recipient will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed conversion.

In all other cases where ESG funds are used for renovation, the recipient will maintain the building as a shelter for homeless individuals and families for a minimum of 5 years after the date the building is first occupied by a homeless individual or family after the completed renovation.

**Essential Services and Operating Costs** – In the case of assistance involving shelter operations or essential services related to street outreach or emergency shelter, the recipient will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure, so long as the recipient serves the same type of persons (e.g., families with children, unaccompanied youth, disabled individuals, or victims of domestic violence) or persons in the same geographic area.

**Renovation** – Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

**Supportive Services** – The recipient will assist homeless individuals in obtaining permanent housing, appropriate supportive services (including medical and mental health treatment, victim services, counseling, supervision, and other services essential for achieving independent living), and other Federal, State, local, and private assistance available for these individuals.

**Matching Funds** – The recipient will obtain matching amounts required under 24 CFR 576.201.

**Confidentiality** – The recipient has established and is implementing procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project, except with the written authorization of the person responsible for the operation of that shelter.

**Homeless Persons Involvement** – To the maximum extent practicable, the recipient will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under the ESG program, in providing services assisted under the ESG program, and in providing services for occupants of facilities assisted under the program.

**Consolidated Plan** – All activities the recipient undertakes with assistance under ESG are consistent with its consolidated plan.



**Discharge Policy** – The recipient will establish and implement, to the maximum extent practicable and where appropriate, policies and protocols for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, mental health facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent this discharge from immediately resulting in homelessness for these persons.

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

**Housing Opportunities for Persons With AIDS Certifications**

The HOPWA grantee certifies that:

**Activities** -- Activities funded under the program will meet urgent needs that are not being met by available public and private sources.

**Building** -- Any building or structure assisted under that program shall be operated for the purpose specified in the consolidated plan:

1. For a period of not less than 10 years in the case of assistance involving new construction, substantial rehabilitation, or acquisition of a facility,
2. For a period of not less than 3 years in the case of assistance involving non-substantial rehabilitation or repair of a building or structure.

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

**APPENDIX TO CERTIFICATIONS**

**INSTRUCTIONS CONCERNING LOBBYING CERTIFICATION:**

**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.

**Grantee SF-424's and Certification(s)**

<a href="#">View Burden Statement</a>		OMB Number: 4540-0006 Expiration Date: 11/30/2025	
<b>Application for Federal Assistance SF-424</b>			
* 1. Type of Submission: <input type="radio"/> Pre-application <input checked="" type="radio"/> Application <input type="radio"/> Changed/Corrected Application		* 2. Type of Application: <input checked="" type="radio"/> New <input type="radio"/> Continuation <input type="radio"/> Revision	
		* If Revision, enter appropriate letter(s): [Redacted] * Other (Specify): [Redacted]	
* 3. Date Received: [Redacted]		4. Applicant Identifier: E-23-00-37-0006	
5a. Federal Entity Identifier: 56-6000227		5b. Federal Award Identifier: 56-6000227	
<b>State Use Only:</b>			
6. Date Received by State: [Redacted]		7. State Application Identifier: [Redacted]	
<b>8. APPLICANT INFORMATION:</b>			
* a. Legal Name: CITY OF GASTONIA			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 56-6000227		* c. UFI: NY 8402 20MLP0	
d. Address:			
* Street:	100 S. YORK ST		
* Street2:	PO BOX 1748		
* City:	GASTONIA		
* County/Parish:	GASTON		
* State:	NC: North Carolina		
* Province:	[Redacted]		
* Country:	USA: UNITED STATES		
* Zip / Postal Code:	28053-1748		
e. Organizational Unit:			
Department Name: HOUSING & COMMUNITY ENGAGEMENT		Division Name: HOUSING & NEIGHBORHOODS	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	Mr.	* First Name:	MICHAEL
Middle Name:	[Redacted]		
* Last Name:	DEOLISE		
Suffix:	[Redacted]		
Title:	[Redacted]		
Organizational Affiliation: CITY MANAGER			
* Telephone Number:	704-666-6179	Fax Number:	704-664-6607
* Email:	MICHAEL.DEOLISE@GASTONIANC.GOV		

Application for Federal Assistance SF-424	
<p><b>* 9. Type of Applicant 1: Select Applicant Type:</b></p> <input type="text" value="C: City or Township Government"/>	
<p>Type of Applicant 2: Select Applicant Type:</p> <input type="text"/>	
<p>Type of Applicant 3: Select Applicant Type:</p> <input type="text"/>	
<p>* Other (specify):</p> <input type="text"/>	
<p><b>* 10. Name of Federal Agency:</b></p> <input type="text" value="US DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT"/>	
<p><b>11. Catalog of Federal Domestic Assistance Number:</b></p> <input type="text" value="14-218"/>	
<p>CFDA Title:</p> <input type="text" value="CDBG - ENTITLEMENT"/>	
<p><b>* 12. Funding Opportunity Number:</b></p> <input type="text"/>	
<p>* Title:</p> <input type="text"/>	
<p><b>13. Competition Identification Number:</b></p> <input type="text"/>	
<p>Title:</p> <input type="text"/>	
<p><b>14. Areas Affected by Project (Cities, Counties, States, etc):</b></p> <input type="text"/> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span>Add Attachment</span> <span>Delete Attachment</span> <span>View Attachment</span> </div>	
<p><b>* 15. Descriptive Title of Applicant's Project:</b></p> <input type="text" value="COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG): ADMINISTRATION, ACQUISITION, FAIR HOUSING, PARTNERSHIPS W/WAIVER BASED INITIATIVES, HOUSING REHABILITATION (OWNERSHIP &amp; RENTAL), PUBLIC INFRASTRUCTURE, SECTION8"/>	
<p>Attach supporting documents as specified in agency instructions</p> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span>Add Attachments</span> <span>Delete Attachments</span> <span>View Attachments</span> </div>	

**Application for Federal Assistance SF-424**

16. Congressional Districts Of:

\* a. Applicant:  \* b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

\* a. Start Date:  \* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="52497"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text" value="18289"/>
* g. TOTAL	<input type="text" value="580796"/>

19. Is Application Subject to Review By State Under Executive Order 12872 Process?

a. This application was made available to the State under the Executive Order 12872 Process for review on

b. Program is subject to E.O. 12872 but has not been selected by the State for review.

c. Program is not covered by E.O. 12872.

20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)

Yes  No

If "Yes", provide explanation and attach

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:  \* First Name:

Middle Name:


\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:



Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate date(s): <input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received: <input type="text"/>	4. Applicant Identifier: <input type="text" value="B-23-B2-37-00.6"/>	
5a. Federal Entity Identifier: <input type="text" value="56-6020227"/>	5b. Federal Award Identifier: <input type="text" value="56-5000227"/>	
State Use Only:		
6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
8. APPLICANT INFORMATION:		
* a. Legal Name: <input type="text" value="CITY OF GASTONIA"/>		
* b. Employer/Taxpayer Identification Number (E/TIN): <input type="text" value="56-6000227"/>	* c. UEI: <input type="text" value="NYP0C280CL88"/>	
d. Address:		
* Street1: <input type="text" value="150 S. YORK ST."/>	* Street2: <input type="text" value="APT 508 1748"/>	
* City: <input type="text" value="GASTONIA"/>	* County/Parish: <input type="text" value="GASTON"/>	
* State: <input type="text" value="NC: North Carolina"/>	* Province: <input type="text"/>	
* Country: <input type="text" value="USA: UNITED STATES"/>	* Zip + Postal Code: <input type="text" value="28053-1748"/>	
e. Organizational Unit:		
Department Name: <input type="text" value="HOUSING &amp; COMMUNITY ENGAGEMENT"/>	Division Name: <input type="text" value="HOUSING &amp; RESIDENTS"/>	
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: <input type="text" value="Mr."/>	* First Name: <input type="text" value="MICHAEL"/>	Middle Name: <input type="text" value="G."/>
* Last Name: <input type="text" value="PEOPLES"/>	Suffix: <input type="text"/>	
Title: <input type="text" value="CITY MANAGER"/>		
Organizational Affiliation: <input type="text" value="CITY OF GASTONIA"/>		
* Telephone Number: <input type="text" value="704-866-5710"/>	Fax Number: <input type="text" value="704-864-0607"/>	
* Email: <input type="text" value="MICHAEL.PROFFER@GASTONIA.NC.GOV"/>		

Application for Federal Assistance SF-424	
* 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="City or Township Investment"/>	
Type of Applicant 2: Select Applicant Type: <input type="text"/>	
Type of Applicant 3: Select Applicant Type: <input type="text"/>	
* Other (specify): <input type="text"/>	
* 10. Name of Federal Agency: <input type="text" value="U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT"/>	
11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14-239"/>	
CFDA Title: <input type="text" value="HOME Investment Partnership Program"/>	
* 12. Funding Opportunity Number: <input type="text" value=""/>	
* Title: <input type="text" value=""/>	
13. Competition Identification Number: <input type="text"/>	
Title: <input type="text"/>	
14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
* 15. Descriptive Title of Applicant's Project: <input type="text" value="HOME Investment Partnership (HOME) Program: Administration, Acquisition, Affordable Housing (rental &amp; ownership), CHDO Activity &amp; Operation, Education/Counseling, Housing Rehabilitation (homeowner &amp; rent)"/>	
Attach supporting documents as specified in agency instructions <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/>	



**Application for Federal Assistance SF-424**

16. Congressional Districts Of:

\* a. Applicant:  \* b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed

17. Proposed Project:

\* a. Start Date:  \* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="820,116.00"/>
* b. Applicant	<input type="text" value=""/>
* c. State	<input type="text" value=""/>
* d. Local	<input type="text" value=""/>
* e. Other	<input type="text" value=""/>
* f. Program Income	<input type="text" value="19,400.00"/>
* g. TOTAL	<input type="text" value="839,516.00"/>

\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?

a. This application was made available to the State under the Executive Order 12372 Process for review on

b. Program is subject to E.O. 12372 but has not been selected by the State for review

c. Program is not covered by E.O. 12372

\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)

Yes  No

If "Yes", provide explanation and attach:

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.


Authorized Representative:

Prefix:  \* First Name:  Middle Name:  \* Last Name:  Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:



ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4340-0064  
Expiration Date: 02/28/2025

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 this 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 (0948-0042), 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. §§4726-4763) 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. 86-352) 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, 168A, 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) §§552 and 557 of the Public Health Service Act of 1912 (42 U.S.C. §§290 d(3) and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title V II 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.

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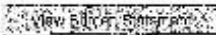
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Standard Form 424D (Rev. 7-77)  
Prescribed by OMB Circular A-102

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 175(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
	City Manager
APPLICANT ORGANIZATION	DATE SUBMITTED
City of Gastonia	06/29/2023

SF-424D (Rev. 7-97) Back



**ASSURANCES - NON-CONSTRUCTION PROGRAMS**

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 (0348-0040), 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 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 cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. 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.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4720-4723) relating to prescribed standards for 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).
6. Will comply with all Federal statutes relating to nondiscrimination. 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 handicap; (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 Offense 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 1944 (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. §§8601, 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.
7. 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 or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with 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.

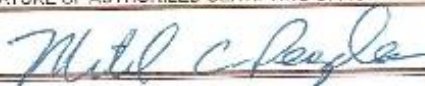
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9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 278a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, 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.
11. 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 11735; (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).
12. 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.
13. 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 Archeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. 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.
17. 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."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. 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 City Manager
APPLICANT ORGANIZATION City of Gastonia	DATE SUBMITTED 06/24/2023

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ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0002  
Expiration Date: 02/28/2022

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 ensure 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. §§4/28-4/63) 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. 300, 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. §§1691-1693, and 1685-1696), 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. 92-266), 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. 91-618), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§525 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dc-3 and 290 dc-2), 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. §§801 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. 91-648) 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. §§468a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1998 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
	City Manager
APPLICANT ORGANIZATION	DATE SUBMITTED
City of Gastonia, NC	2/10/2023

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**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.

**Uniform Relocation Act and 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, (42 U.S.C. 4601-4655) and implementing regulations at 49 CFR Part 24. It has in effect and is following a residential anti-displacement and relocation assistance plan required under 24 CFR Part 42 in connection with any activity assisted with funding under the Community Development Block Grant 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-L.L.L., "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 Community Development Block Grant, HOME, Emergency Solutions Grant, and Housing Opportunities for Persons With AIDS funds are consistent with the strategic plan in the jurisdiction's consolidated plan.

**Section 3** -- It will comply with section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) and implementing regulations at 24 CFR Part 75.

  
Signature of Authorized Official

  
Date

  
Title



## Specific Community Development Block Grant 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 plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that have been developed in accordance with the primary objective of the CDBG program (i.e., the development of viable urban communities, by providing decent housing and expanding economic opportunities, primarily for persons of low and moderate income) and requirements of 24 CFR Parts 91 and 570.

**Following a Plan** -- It is following a current consolidated plan 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 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 CDBG-assisted activities which the grantee certifies are designed to meet other community development needs having 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 (see Optional CDBG Certification).

**2. Overall Benefit.** The aggregate use of CDBG funds, including Section 108 guaranteed loans, during program year(s) \_\_\_\_\_ [a period specified by the grantee 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.

In addition, 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 U.S.C. 2000c) and the Fair Housing Act (42 U.S.C. 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.

  
Signature of Authorized Official

06/12/2025  
Date

  
Title

**OPTIONAL Community Development Block Grant Certification**

Submit the following certification only when one or more of the activities in the action plan are designed to meet other community development needs having particular urgency as specified in 24 CFR 570.209(c):

The grantee hereby certifies that the Annual Plan includes one or more specifically identified CDBG-assisted activities which are designed to meet other community development needs having 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 to meet such needs.

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

**Specific HOME Certifications**

The HOME participating jurisdiction certifies that:

**Tenant Based Rental Assistance** -- If it plans to provide tenant-based rental assistance, the tenant-based rental assistance is an essential element of its consolidated plan.

**Eligible Activities and Costs** -- It is using and will use HOME funds for eligible activities and costs, as described in 24 CFR §§92.205 through 92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in §92.214.

**Subsidy layering** -- Before committing any funds to a project, it will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing;

  
Signature of Authorized Official

06/12/2023  
Date

  
Title

## Emergency Solutions Grants Certifications

The Emergency Solutions Grants Program recipient certifies that:

**Major rehabilitation/conversion/renovation** – If an emergency shelter's rehabilitation costs exceed 75 percent of the value of the building before rehabilitation, the recipient will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed rehabilitation.

If the cost to convert a building into an emergency shelter exceeds 75 percent of the value of the building after conversion, the recipient will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed conversion.

In all other cases where ESG funds are used for renovation, the recipient will maintain the building as a shelter for homeless individuals and families for a minimum of 5 years after the date the building is first occupied by a homeless individual or family after the completed renovation.

**Essential Services and Operating Costs** – In the case of assistance involving shelter operations or essential services related to street outreach or emergency shelter, the recipient will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure, so long as the recipient serves the same type of persons (e.g., families with children, unaccompanied youth, disabled individuals, or victims of domestic violence) or persons in the same geographic area.

**Renovation** – Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

**Supportive Services** – The recipient will assist homeless individuals in obtaining permanent housing, appropriate supportive services (including medical and mental health treatment, victim services, counseling, supervision, and other services essential for achieving independent living), and other Federal, State, local, and private assistance available for these individuals.

**Matching Funds** – The recipient will obtain matching amounts required under 24 CFR 576.201.

**Confidentiality** – The recipient has established and is implementing procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project, except with the written authorization of the person responsible for the operation of that shelter.

**Homeless Persons Involvement** – To the maximum extent practicable, the recipient will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under the ESG program, in providing services assisted under the ESG program, and in providing services for occupants of facilities assisted under the program.

**Consolidated Plan** – All activities the recipient undertakes with assistance under ESG are consistent with its consolidated plan.

**Discharge Policy** – The recipient will establish and implement, to the maximum extent practicable and where appropriate, policies and protocols for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, mental health facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent this discharge from immediately resulting in homelessness for these persons.

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

**Housing Opportunities for Persons With AIDS Certifications**

The HOPWA grantee certifies that:

**Activities** -- Activities funded under the program will meet urgent needs that are not being met by available public and private sources.

**Building** -- Any building or structure assisted under that program shall be operated for the purpose specified in the consolidated plan:

1. For a period of not less than 10 years in the case of assistance involving new construction, substantial rehabilitation, or acquisition of a facility,
2. For a period of not less than 3 years in the case of assistance involving non-substantial rehabilitation or repair of a building or structure.

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

**APPENDIX TO CERTIFICATIONS**

**INSTRUCTIONS CONCERNING LOBBYING CERTIFICATION:**

**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.