



Department of Development

Ted Strickland, Governor
Lee Fisher, Lt. Governor

Lisa Patt-McDaniel, Interim Director

July 17, 2009

Stanley Gimont, Director
U.S. Department of Housing and Urban Development
Office of Block Grant Assistance
Robert C. Weaver Building
451 Seventh Street, SW, Room 7286
Washington, DC 20410

Subject: State of Ohio's Neighborhood Stabilization Program 2 Application

Dear Mr. Gimont:

Enclosed is the State of Ohio's Neighborhood Stabilization Program (NSP) 2 application.

The Ohio Department of Development (ODOD) appreciates the opportunity to apply for NSP 2 funds and, if the application is approved, pledges to work diligently with our partners to address foreclosure-related issues in Ohio with the NSP 2 funds.

To ensure citizen participation, ODOD requested public comment on Ohio's NSP 2 plan by publishing a public comment notice in 13 newspapers across the state and requesting comments during the period July 2-12, 2009.

Questions regarding the application should be directed to Michael A. Hiler, Office of Housing and Community Partnerships (OHCP) Office Chief, by telephone at (614) 466-2285 or by e-mail at Michael.Hiler@development.ohio.gov.

Sincerely,

Lisa Patt-McDaniel, Interim Director
Ohio Department of Development

LPM/md
Enclosure

c: Jorgelle Lawson, HUD Columbus

Application forms

Application for Federal Assistance SF-424		Version 02
*1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		*2. Type of Application * If Revision, select appropriate letter(s) <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation *Other (Specify) _____ <input type="checkbox"/> Revision
3. Date Received:		4. Applicant Identifier:
5a. Federal Entity Identifier:		*5b. Federal Award Identifier: N/A
State Use Only:		
6. Date Received by State:		7. State Application Identifier:
8. APPLICANT INFORMATION:		
*a. Legal Name: State of Ohio		
*b. Employer/Taxpayer Identification Number (EIN/TIN): 31-1334820		*c. Organizational DUNS: 808847743
d. Address:		
*Street 1: 77 South High Street, 24th Floor Street 2: P.O. Box 1001 *City: Columbus County: Franklin *State: Ohio Province: _____ *Country: USA *Zip / Postal Code: 43216-1001		
e. Organizational Unit:		
Department Name: Ohio Department of Development		Division Name: Community Development Division
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: Mr. *First Name: Michael Middle Name: A. *Last Name: Hiler Suffix: _____		
Title: Chief, Office of Housing and Community Partnerships		
Organizational Affiliation:		

*Telephone Number: (614)728-3000

Fax Number: (614) 728-4920

*Email: Michael.Hiler@development.ohio.gov

OMB Number: 4040-0004

Expiration Date: 01/31/2009

Application for Federal Assistance SF-424

Version 02

***9. Type of Applicant 1: Select Applicant Type:**

A. State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

*Other (Specify)

***10 Name of Federal Agency:** Department of Housing and Urban Development

11. Catalog of Federal Domestic Assistance Number:

14.256

CFDA Title:

Neighborhood Stabilization Program

***12 Funding Opportunity Number:**

FR - 5321-C-01

*Title:

Neighborhood Stabilization Program 2

13. Competition Identification Number:

N/A

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Census tracts in the following counties will be affected: Adams, Allen, Belmont, Brown, Clinton, Columbiana, Coshocton, Crawford, Darke, Fairfield, Fayette, Guernsey, Hancock, Harrison, Highland, Jefferson, Licking, Marion, Medina, Meigs, Morgan, Morrow, Muskingum, Perry, Pike, Portage, Putnam, Ross, Scioto, Seneca, Van Wert, Vinton, and Wood

***15. Descriptive Title of Applicant's Project:**

Neighborhood Stabilization Program Round 2 (NSP2) funds made available through the American Recovery and Reinvestment Act (ARRA) of 2009

OMB Number: 4040-0004

Expiration Date: 01/31/2009

Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

*a. Applicant: All

*b. Program/Project: 2, 3, 4, 5, 6, 7, 8, 12, 13, 14, 16, 17, 18

17. Proposed Project:

*a. Start Date: 9/30/2010

*b. End Date: 9/30/2013

18. Estimated Funding (\$):

*a. Federal	\$50,000,000
*b. Applicant	
*c. State	\$3,500,000
*d. Local	
*e. Other	
*f. Program Income	
*g. TOTAL	\$53,500,000

***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.)**

☐ Yes ☒ No

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 218, 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: Ms.

*First Name: Candace

Middle Name:

*Last Name: Jones

Suffix: _____	
*Title: Chief Legal Counsel & Ethics Officer	
*Telephone Number: (614)728-3000	Fax Number: (614) 728-4920
* Email: Candace.Jones@development.ohio.gov	
*Signature of Authorized Representative: 	*Date Signed: 7/10/2009

Authorized for Local Reproduction

*Authorized signatory for
Lisa Patti-McDaniel, Interim Director*

Standard Form 424 (Revised 10/2005)

Prescribed by OMB Circular A-102

SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

OMB No. 1890-0014 Exp. 2/28/2009

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: State of Ohio

Applicant's DUNS Number: 808847743

Grant Name: Neighborhood Stabilization Program 2 (NSP2) CFDA Number: 14.256

- | | |
|--|--|
| 1. Does the applicant have 501(c)(3) status? | 4. Is the applicant a faith-based/religious organization? |
| <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 2. How many full-time equivalent employees does the applicant have? <i>(Check only one box.)</i> | 5. Is the applicant a non-religious community-based organization? |
| <input type="checkbox"/> 3 or Fewer <input type="checkbox"/> 15-50 | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| <input type="checkbox"/> 4-5 <input type="checkbox"/> 51-100 | 6. Is the applicant an intermediary that will manage the grant on behalf of other organizations? |
| <input type="checkbox"/> 6-14 <input checked="" type="checkbox"/> over 100 | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 3. What is the size of the applicant's annual budget? <i>(Check only one box.)</i> | 7. Has the applicant ever received a government grant or contract (Federal, State, or local)? |
| <input type="checkbox"/> Less Than \$150,000 | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| <input type="checkbox"/> \$150,000 - \$299,999 | 8. Is the applicant a local affiliate of a national organization? |
| <input type="checkbox"/> \$300,000 - \$499,999 | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| <input type="checkbox"/> \$500,000 - \$999,999 | |
| <input type="checkbox"/> \$1,000,000 - \$4,999,999 | |
| <input checked="" type="checkbox"/> \$5,000,000 or more | |

Non-profit organization qualification

The Ohio Department of Development, Office of Housing and Community Partnerships, is the lead applicant and partner for this consortium and will be responsible for managing the HUD NSP2 grant. To assure an effective program design targeted to local needs and to expedite the expenditure of NSP2 funds, OHCP has identified seven experienced non-profit housing organizations as consortium members to implement NSP2 activities throughout the state. Each of the seven housing organizations is a confirmed 501(c)(3) tax-exempt non-profit organization. Evidence thereof can be found immediately following this page.

Internal Revenue Service**Department of the Treasury****Date:** February 25, 2002

**Community Action Commission of
Fayette County
324 E Court St
Washington CT HS E, OH 43160-1402**

**P. O. Box 2508
Cincinnati, OH 45201**

Person to Contact:
Marion F Robinson-Baugh 31-03601
Customer Service Representative
Toll Free Telephone Number:
8:00 a.m. to 6:30 p.m. EST
877-829-5500
Fax Number:
513-263-3756
Federal Identification Number:
31-0723686

Dear Sir or Madam:

This letter is in response to your request for a copy of your organization's determination letter.

Our records indicate that a determination letter issued in March 1967, granted your organization exemption from federal income tax under section 501(c)(3) of the Internal Revenue Code. That letter is still in effect.

Based on information subsequently submitted, we classified your organization as one that is not a private foundation within the meaning of section 509(a) of the Code because it is an organization described in sections 509(a)(1) and 170 (b)(1)(A)(vi).

This classification was based on the assumption that your organization's operations would continue as stated in the application. If your organization's sources of support, or its character, method of operations, or purposes have changed, please let us know so we can consider the effect of the change on the exempt status and foundation status of your organization.

Your organization is required to file Form 990, Return of Organization Exempt from Income Tax, only if its gross receipts each year are normally more than \$25,000. If a return is required, it must be filed by the 15th day of the fifth month after the end of the organization's annual accounting period. The law imposes a penalty of \$20 a day, up to a maximum of \$10,000, when a return is filed late, unless there is reasonable cause for the delay.

All exempt organizations (unless specifically excluded) are liable for taxes under the Federal Insurance Contributions Act (social security taxes) on remuneration of \$100 or more paid to each employee during a calendar year. Your organization is not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the excise taxes under Chapter 42 of the Code. However, these organizations are not automatically exempt from other federal excise taxes.

Donors may deduct contributions to your organization as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to your organization or for its use are deductible for federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

-2-

Community Action Commission of Fayette County
31-0723686

Your organization is not required to file federal income tax returns unless it is subject to the tax on unrelated business income under section 511 of the Code. If your organization is subject to this tax, it must file an income tax return on the Form 990-T, Exempt Organization Business Income Tax Return. In this letter, we are not determining whether any of your organization's present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

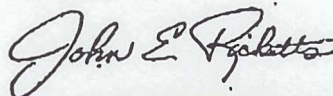
The law requires you to make your organization's annual return available for public inspection without charge for three years after the due date of the return. If your organization had a copy of its application for recognition of exemption on July 15, 1987, it is also required to make available for public inspection a copy of the exemption application, any supporting documents and the exemption letter to any individual who requests such documents in person or in writing. You can charge only a reasonable fee for reproduction and actual postage costs for the copied materials. The law does not require you to provide copies of public inspection documents that are widely available, such as by posting them on the Internet (World Wide Web). You may be liable for a penalty of \$20 a day for each day you do not make these documents available for public inspection (up to a maximum of \$10,000 in the case of an annual return).

Because this letter could help resolve any questions about your organization's exempt status and foundation status, you should keep it with the organization's permanent records.

If you have any questions, please call us at the telephone number shown in the heading of this letter.

This letter affirms your organization's exempt status.

Sincerely,



John E. Ricketts, Director, TE/GE
Customer Account Services

U. S. TREASURY DEPARTMENT
INTERNAL REVENUE SERVICE

DISTRICT DIRECTOR
P. O. BOX 476
CINCINNATI, OHIO 45201

MAR 31 1967

CIN:EO:67:56
IN REPLY REFER TO
Form L-178
442:9:JLH

Community Action Commission of
Fayette County
108 West Market Street
Washington C. H., Ohio 43160

Gentlemen:

PURPOSE Charitable	
ADDRESS INQUIRIES & FILE RETURNS WITH DISTRICT DIRECTOR OF INTERNAL REVENUE Cincinnati, Ohio	
FORM 990-A RE- QUIRED <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	ACCOUNTING PERIOD ENDING June 30

On the basis of your stated purposes and the understanding that your operations will continue as evidenced to date or will conform to those proposed in your ruling application, we have concluded that you are exempt from Federal income tax as an organization described in section 501(c)(3) of the Internal Revenue Code. Any changes in operation from those described, or in your character or purposes, must be reported immediately to your District Director for consideration of their effect upon your exempt status. You must also report any change in your name or address.

You are not required to file Federal income tax returns so long as you retain an exempt status, unless you are subject to the tax on unrelated business income imposed by section 511 of the Code, in which event you are required to file Form 990-T. Our determination as to your liability for filing the annual information return, Form 990-A, is set forth above. That return, if required, must be filed on or before the 15th day of the fifth month after the close of your annual accounting period indicated above.

Contributions made to you are deductible by donors as provided in section 170 of the Code. Bequests, legacies, devises, transfers or gifts to or for your use are deductible for Federal estate and gift tax purposes under the provisions of section 2055, 2106 and 2522 of the Code.

You are not liable for the taxes imposed under the Federal Insurance Contributions Act (social security taxes) unless you file a waiver of exemption certificate as provided in such act. You are not liable for the tax imposed under the Federal Unemployment Tax Act. Inquiries about the waiver of exemption certificate for social security taxes should be addressed to this office, as should any questions concerning excise, employment or other Federal taxes.

This is a determination letter.

Very truly yours,

Paul A. Schuster
District Director

Internal Revenue Service

Department of the Treasury

**P. O. Box 2508
Cincinnati, OH 45201**

Date: January 7, 2003

Mid Ohio Regional Planning Commission
285 E Main Street
Columbus, OH 43215-5222

Person to Contact:

Ms. E. Eckert ID 31-07436
Customer Service Specialist

Toll Free Telephone Number:

8:00 a.m. to 6:30 p.m. EST
877-829-5500

Fax Number:

513-263-3756

Federal Identification Number:

31-1009675

Dear Sir or Madam:

This letter is in response to your faxed request received on December 20, 2002 requesting a copy of your organization's determination letter. This letter will take the place of the copy you requested.

Our records indicate that a determination letter issued in October 1981, granted your organization exemption from federal income tax under section 501(c)(3) of the Internal Revenue Code. That letter is still in effect.

Based on information subsequently submitted, we classified your organization as one that is not a private foundation within the meaning of section 509(a) of the Code because it is an organization described in section 509(a)(3).

This classification was based on the assumption that your organization's operations would continue as stated in the application. If your organization's sources of support, or its character, method of operations, or purposes have changed, please let us know so we can consider the effect of the change on the exempt status and foundation status of your organization.

Your organization is required to file Form 990, Return of Organization Exempt from Income Tax, only if its gross receipts each year are normally more than \$25,000. If a return is required, it must be filed by the 15th day of the fifth month after the end of the organization's annual accounting period. The law imposes a penalty of \$20 a day, up to a maximum of \$10,000, when a return is filed late, unless there is reasonable cause for the delay.

All exempt organizations (unless specifically excluded) are liable for taxes under the Federal Insurance Contributions Act (social security taxes) on remuneration of \$100 or more paid to each employee during a calendar year. Your organization is not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the excise taxes under Chapter 42 of the Code. However, these organizations are not automatically exempt from other federal excise taxes.

Donors may deduct contributions to your organization as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to your organization or for its use are deductible for federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Mid Ohio Regional Planning Commission
31-1009675

Your organization is not required to file federal income tax returns unless it is subject to the tax on unrelated business income under section 511 of the Code. If your organization is subject to this tax, it must file an income tax return on the Form 990-T, Exempt Organization Business Income Tax Return. In this letter, we are not determining whether any of your organization's present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

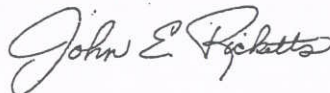
The law requires you to make your organization's annual return available for public inspection without charge for three years after the due date of the return. If your organization had a copy of its application for recognition of exemption on July 15, 1987, it is also required to make available for public inspection a copy of the exemption application, any supporting documents and the exemption letter to any individual who requests such documents in person or in writing. You can charge only a reasonable fee for reproduction and actual postage costs for the copied materials. The law does not require you to provide copies of public inspection documents that are widely available, such as by posting them on the Internet (World Wide Web). You may be liable for a penalty of \$20 a day for each day you do not make these documents available for public inspection (up to a maximum of \$10,000 in the case of an annual return).

Because this letter could help resolve any questions about your organization's exempt status and foundation status, you should keep it with the organization's permanent records.

If you have any questions, please call us at the telephone number shown in the heading of this letter.

This letter affirms your organization's exempt status.

Sincerely,

A handwritten signature in cursive script that reads "John E. Ricketts".

John E. Ricketts, Director, TE/GE
Customer Account Services

INTERNAL REVENUE SERVICE
P. O. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: DEC 22 1999

OHIO REGIONAL DEVELOPMENT
CORPORATION
401 1/2 MAIN ST
COSHOCOTON, OH 43812

Employer Identification Number:
31-1443536
DLN:
17053238011029
Contact Person:
ROSALIE L SIMS ID# 31367
Contact Telephone Number:
(877) 829-5500
Accounting Period Ending:
December 31
Form 990 Required:
Yes
Addendum Applies:
No

Dear Applicant:

Based on information supplied, and assuming your operations will be as stated in your application for recognition of exemption, we have determined you are exempt from federal income tax under section 501(a) of the Internal Revenue Code as an organization described in section 501(c)(3).

We have further determined that you are not a private foundation within the meaning of section 509(a) of the Code, because you are an organization described in sections 509(a)(1) and 170(b)(1)(A)(vi).

If your sources of support, or your purposes, character, or method of operation change, please let us know so we can consider the effect of the change on your exempt status and foundation status. In the case of an amendment to your organizational document or bylaws, please send us a copy of the amended document or bylaws. Also, you should inform us of all changes in your name or address.

As of January 1, 1984, you are liable for taxes under the Federal Insurance Contributions Act (social security taxes) on remuneration of \$100 or more you pay to each of your employees during a calendar year. You are not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Since you are not a private foundation, you are not subject to the excise taxes under Chapter 42 of the Code. However, if you are involved in an excess benefit transaction, that transaction might be subject to the excise taxes of section 4958. Additionally, you are not automatically exempt from other federal excise taxes. If you have any questions about excise, employment, or other federal taxes, please contact your key district office.

Grantors and contributors may rely on this determination unless the Internal Revenue Service publishes notice to the contrary. However, if you lose your section 509(a)(1) status, a grantor or contributor may not rely on this determination if he or she was in part responsible for, or was aware of, the act or failure to act, or the substantial or material change on the part of the organization that resulted in your loss of such status, or if he or she acquired knowledge that the Internal Revenue Service had given notice that you would no longer be classified as a section 509(a)(1) organization.

Letter 947 (DO/CG)

OHIO REGIONAL DEVELOPMENT

Donors may deduct contributions to you as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for federal estate and gift tax purposes if they meet the applicable provisions of Code sections 2055, 2106, and 2522.

Contribution deductions are allowable to donors only to the extent that their contributions are gifts, with no consideration received. Ticket purchases and similar payments in conjunction with fundraising events may not necessarily qualify as deductible contributions, depending on the circumstances. See Revenue Ruling 67-246, published in Cumulative Bulletin 1967-2, on page 104, which sets forth guidelines regarding the deductibility, as charitable contributions, of payments made by taxpayers for admission to or other participation in fundraising activities for charity.

In the heading of this letter we have indicated whether you must file Form 990, Return of Organization Exempt From Income Tax. If Yes is indicated, you are required to file Form 990 only if your gross receipts each year are normally more than \$25,000. However, if you receive a Form 990 package in the mail, please file the return even if you do not exceed the gross receipts test. If you are not required to file, simply attach the label provided, check the box in the heading to indicate that your annual gross receipts are normally \$25,000 or less, and sign the return.

If a return is required, it must be filed by the 15th day of the fifth month after the end of your annual accounting period. A penalty of \$20 a day is charged when a return is filed late, unless there is reasonable cause for the delay. However, the maximum penalty charged cannot exceed \$10,000 or 5 percent of your gross receipts for the year, whichever is less. For organizations with gross receipts exceeding \$1,000,000 in any year, the penalty is \$100 per day per return, unless there is reasonable cause for the delay. The maximum penalty for an organization with gross receipts exceeding \$1,000,000 shall not exceed \$50,000. This penalty may also be charged if a return is not complete, so be sure your return is complete before you file it.

The law requires you to make your annual return available for public inspection without charge for three years after the due date of the return. You are also required to make available for public inspection a copy of your exemption application, any supporting documents and this exemption letter to any individual who requests such documents in person or in writing. You can charge only a reasonable fee for reproduction and actual postage costs for the copied materials. The law does not require you to provide copies of public inspection documents that are made widely available, such as by posting them on the Internet (World Wide Web). You may be liable for a penalty of \$20 a day for each day you do not make these documents available for public inspection (up to a maximum of \$10,000 in the case of an annual return).

You are not required to file federal income tax returns unless you are subject to the tax on unrelated business income under section 511 of the Code. If you are subject to this tax, you must file an income tax return on Form

OHIO REGIONAL DEVELOPMENT

990-T, Exempt Organization Business Income Tax Return. In this letter we are not determining whether any of your present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

You need an employer identification number even if you have no employees. If an employer identification number was not entered on your application, a number will be assigned to you and you will be advised of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

If we have indicated in the heading of this letter that an addendum applies, the enclosed addendum is an integral part of this letter.

Because this letter could help resolve any questions about your exempt status and foundation status, you should keep it in your permanent records.

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

Sincerely yours,

Steven T. Miller

Steven T. Miller
Director, Exempt Organizations



U. S. TREASURY DEPARTMENT
INTERNAL REVENUE SERVICE ✓

DISTRICT DIRECTOR
P. O. BOX 478
CINCINNATI, OHIO 45201

JUN 21 1965

CIN: 20:65
IN REPLY REFER
Form L-17B
442:9:JLH

Supporting Council of Preventive Effort (Scope)
184 Salem Avenue
Dayton, Ohio 45406

PURPOSE Charitable	
ADDRESS INQUIRIES & FILE RETURN DISTRICT DIRECTOR OF INTERNAL REVENUE Cincinnati, Ohio	
FORM 990-A RE- QUIRED <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	ACCOUNTING ENDING December

Gentlemen:

On the basis of your stated purposes and the understanding that your operations will continue as evidenced to date or will conform to those proposed in your ruling application, we have concluded that you are exempt from Federal income tax as an organization described in section 501(c)(3) of the Internal Revenue Code. Any changes in operation from those described, or in your character or purposes, must be reported immediately to your District Director for consideration of their effect upon your exempt status. You must also report any change in your name or address.

You are not required to file Federal income tax returns so long as you retain an exempt status, unless you are subject to the tax on unrelated business income imposed by section 511 of the Code, in which event you are required to file Form 990-T. Our determination as to your liability for filing the annual information return, Form 990-A, is set forth above. That return, if required, must be filed on or before the 15th day of the fifth month after the close of your annual accounting period indicated above.

Contributions made to you are deductible by donors as provided in section 170 of the Code. Bequests, legacies, devises, transfers or gifts to or for your use are deductible for Federal estate and gift tax purposes under the provisions of section 2055, 2106 and 2522 of the Code.

You are not liable for the taxes imposed under the Federal Insurance Contributions Act (social security taxes) unless you file a waiver of exemption certificate as provided in such act. You are not liable for the tax imposed under the Federal Unemployment Tax Act. Inquiries about the waiver of exemption certificate for social security taxes should be addressed to this office, as should any questions concerning excise, employment or other Federal taxes.

This is a determination letter. See below

Very truly yours,

Paul A. Schuster

District Director

Exemption has been allowed under section 501(c)(3) instead of section 501(c)(4) of the Code.

200313500170*

DATE
05/15/2003

DOCUMENT ID
200313500170

DESCRIPTION
DOMESTIC/AMENDED RESTATED
ARTICLES (AMA)

FLING
\$0.00

EXPED
.00

PENALTY
.00

CERT
.00

COPY
.00

Receipt

This is not a bill. Please do not remit payment.

COOPER & GENTILE CO LPA
118 W FIRST ST SUITE 850
DAYTON, OH 45402

**STATE OF OHIO
CERTIFICATE**

Ohio Secretary of State, J. Kenneth Blackwell

335898

It is hereby certified that the Secretary of State of Ohio has custody of the business records for

COMMUNITY ACTION PARTNERSHIP OF THE GREATER DAYTON AREA

and, that said business records show the filing and recording of:

Document(s):

DOMESTIC/AMENDED RESTATED ARTICLES

Document No(s):

200313500170



United States of America
State of Ohio
Office of the Secretary of State

Witness my hand and the seal of the
Secretary of State at Columbus, Ohio
this 14th day of May, A.D. 2003.

J. Kenneth Blackwell
Ohio Secretary of State

INAT1 OH 45999-0046

In reply refer to: 0223845362
July 23, 2003 LTR 252C
31-0709198 000000 00 000
03453
BODC: TE

COMMUNITY ACTION PARTNERSHIP OF THE
GREATER DAYTON AREA
719 S MAIN ST
DAYTON OH 45402-2709197

Taxpayer Identification Number: 31-0709198

Dear Taxpayer:

Thank you for the inquiry dated May 21, 2003.

We have changed the name on your account as requested. The number shown above is valid for use on all tax documents.

If you have any questions, please call us toll free at 1-800-829-0115.

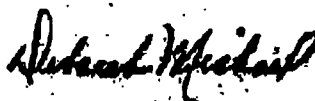
If you prefer, you may write to us at the address shown at the top of the first page of this letter.

Whenever you write, please include this letter and, in the spaces below, give us your telephone number with the hours we can reach you. Also, you may want to keep a copy of this letter for your records.

Telephone Number () _____ Hours _____

Thank you for your cooperation.

Sincerely yours,



Deborah Michael, Manager
Document Perfection Operations

Enclosure(s):
Copy of this letter



Ohio Secretary of State
Central Ohio: (614) 466-3910
Toll Free: 1-877-903-FILE (1-877-767-3453)

501 - C - 3 STATUS-

STATEMENT OF CONTINUED EXISTENCE OF CORPORATION - NOT FOR PROFIT

The undersigned, a trustee, officer, or three members in good standing of the corporation named below, hereby verifies/verify that the corporation is still actively engaged in exercising its corporate privileges, and that:

1. The Charter Number is: 335898
2. The exact corporate name is:
COMMUNITY ACTION PARTNERSHIP OF THE GREATER DAYTON AREA
3. The city, village or township in which its principal office is located is:
DAYTON
4. The county in which its principal office is located is: MONTGOMERY
5. The date of its incorporation is: December 18, 1964
6. The name of the current statutory agent is:

John T. Donnellan

7. The complete address of the current statutory agent is:

719 South Main Street, Dayton, Ohio 45402-2709

Dayton, Ohio 45402-2709

(P. O. Box addresses are not acceptable)

This document is signed by a trustee, corporate officer, or three members in good standing.

By: 

Note: If a new agent has been appointed on line 6 above, that agent must acknowledge his/her acceptance of such appointment below.

ACCEPTANCE OF APPOINTMENT

The undersigned, John T. Donnellan, named herein as the statutory agent for the corporation in line 2 of this statement, hereby acknowledges and accepts the appointment of statutory agent.


Signature of Statutory Agent

Internal Revenue Service

Department of the Treasury

**P. O. Box 2508
Cincinnati, OH 45201**

Date: December 21, 2001

Person to Contact:

John Kennedy ID 31-07297
Customer Service Representative

Toll Free Telephone Number:

8:00 a.m. to 9:30 p.m. EST
877 -829-5500

Fax Number:

513-263-3756

Federal Identification Number:

31-6060696

Community Action Program Committee Meigs &
Gallia Counties Incorporated
P. O. Box 272
Cheshire, OH 45620

Dear Sir or Madam:

This letter is in response to your request for a copy of your organization's determination letter. This letter will take the place of the copy you requested.

Our records indicate that a determination letter issued in March 1966, granted your organization exemption from federal income tax under section 501 (c)(3) of the Internal Revenue Code. That letter is still in effect. Based on information subsequently submitted, we classified your organization as one that is not a private foundation within the meaning of section 509(a) of the Code because it is an organization described in sections 509(a)(1) and 170(b)(1)(A)(vi).

This classification was based on the assumption that your organization's operations would continue as stated in the application. If your organization's sources of support, or its character, method of operations, or purposes have changed, please let us know so we can consider the effect of the change on the exempt status and foundation status of your organization.

Your organization is required to file Form 990, Return of Organization Exempt from Income Tax, only if its gross receipts each year are normally more than \$25,000. If a return is required, it must be filed by the 15th day of the fifth month after the end of the organization's annual accounting period. The law imposes a penalty of \$20 a day, up, to a maximum of \$10,000, when a return is filed late, unless there is reasonable cause for the delay.

All exempt organizations (unless specifically excluded) are liable for taxes under the Federal Insurance Contributions Act (social security taxes) on remuneration of \$100 or more paid to each employee during a calendar year. Your organization is not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the excise taxes under Chapter 42 of the Code. However, these organizations are not automatically exempt from other federal excise taxes. Donors may deduct contributions to your organization as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to your organization or for its use are deductible for federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Community Action Program Committee Meigs & Gallia Counties Incorporated
31-6060696

Your organization is not required to file federal income tax returns unless it is subject to the tax on unrelated business income under section 511 of the Code. If your organization is subject to this tax, it must file an income tax return on the Form 990- T, Exempt Organization Business Income Tax Return. In this letter, we are not determining whether any of your organization's present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

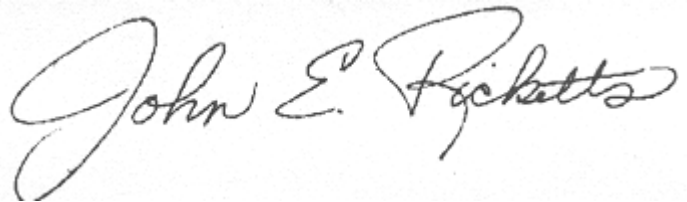
The law requires you to make your organization's annual return available for public inspection without charge for three years after the due date of the return. If your organization had a copy of its application for recognition of exemption on July 15, 1987, it is also required to make available for public inspection a copy of the exemption application, any supporting documents and the exemption letter to any individual who requests such documents in person or in writing. You can charge only a reasonable fee for reproduction and actual postage costs for the copied materials. The law does not require you to provide copies of public inspection documents that are widely available, such as by posting them on the Internet (World Wide Web). You may be liable for a penalty of \$20 a day for each day you do not make these documents available for public inspection (up to a maximum of \$10,000 in the case of an annual return).

Because this letter could help resolve any questions about your organization's exempt status and foundation status, you should keep it with the organization's permanent records.

If you have any questions, please call us at the telephone number shown in the heading of this letter.

This letter affirms your organization's exempt status.

Sincerely,

A handwritten signature in dark ink, reading "John E. Ricketts". The signature is fluid and cursive, with the first name "John" being the most prominent.

John E. Ricketts, Director, TE/GE
Customer Account Services

OGDEN UT 84201-0038

In reply refer to: 0441774131
June 18, 2009 LTR 4168C E0
34-1485111 000000 00 000 R
00032607
BODC: TE

NEIGHBORHOOD DEVELOPMENT SERVICES
INC
120 E MAIN ST
RAVENNA OH 44266-3104



019886

Employer Identification Number: 34-1485111
Person to Contact: J Reilly
Toll Free Telephone Number: 1-877-829-5500

Dear Taxpayer:

This is in response to your request of June 09, 2009, regarding your tax-exempt status.

Our records indicate that a determination letter was issued in August 1986, that recognized you as exempt from Federal income tax, and discloses that you are currently exempt under section 501(c)(03) of the Internal Revenue Code.

Our records also indicate you are not a private foundation within the meaning of section 509(a) of the Code because you are described in section(s) 509(a)(1) and 170(b)(1)(A)(vi).

Donors may deduct contributions to you as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

If you have any questions, please call us at the telephone number shown in the heading of this letter.

Sincerely yours,



Rita A. Leete
Accounts Management II

**United States of America
State of Ohio
Office of the Secretary of State**

I, Jennifer Brunner, do hereby certify that I am the duly elected, qualified and present acting Secretary of State for the State of Ohio, and as such have custody of the records of Ohio and Foreign business entities; that said records show W. S. O. S. COMMUNITY ACTION COMMISSION, INC., an Ohio not for profit corporation, Charter No. 344112, having its principal location in Fremont, County of Sandusky, was incorporated on October 04, 1965 and is currently in GOOD STANDING upon the records of this office.



*Witness my hand and the seal of the
Secretary of State at Columbus, Ohio
this 8th day of July, A.D. 2009*

A handwritten signature in cursive script, reading "Jennifer Brunner".

Ohio Secretary of State

Consortium agreement

American Recovery & Reinvestment Act Funded Project

Funding for this Agreement is to be provided through the Neighborhood Stabilization Program 2 under the American Recovery and Reinvestment Act of 2009 (ARRA), and is subject to the reporting and operational requirements of ARRA. The Consortium Members and all of its contractors and subcontractors are subject to audit by appropriate federal and state entities.

OHIO NEIGHBORHOOD STABILIZATION PROGRAM 2 CONSORTIUM AGREEMENT

(American Recovery & Reinvestment Act of 2009 Funds)

This Consortium Agreement (the "Agreement") is entered into by and between the **State of Ohio, Department of Development** ("Development"), located at 77 South High Street, Columbus, Ohio 43215; the **Community Action Partnership of the Greater Dayton Area** (the "Dayton CAP"), located at 719 South Main Street, Dayton, Ohio 45402-2709; the **Community Action Commission of Fayette County** (the "Fayette County CAC"), located at 324 East Court Street, Washington Court House, Ohio 43160-1492; the **Gallia-Meigs Community Action Agency, Inc.** (the "Gallia-Meigs CAA") located at 8010 North State Route 7, P.O. Box 272, Cheshire, Ohio 45620-0272; the **Mid-Ohio Regional Planning Commission** (the "MORPC"), located at 111 Liberty Street, Suite 100, Columbus, Ohio 43215; the **Neighborhood Development Services, Inc.** ("NDS, Inc."), located at 120 East Main Street, Ravenna, Ohio 44266; the **Ohio Regional Development Corporation** (the "ORDC"), located at 120 ½ South 4th Street, Coshocton, Ohio 43812; and the **WSOS Community Action Commission** ("WSOS CAC"), located at 109 South Front Street, Fremont, Ohio 43520 (collectively referred to as "Consortium Members") to set forth the terms and conditions under which each Consortium Member shall undertake implementation of the Neighborhood Stabilization Program 2 (NSP2) Grant Funds provided under the ARRA.

STATEMENT OF THE AGREEMENT

NOW, THEREFORE, in consideration of the foregoing and the mutual promises and covenants set forth below, the parties agree as follows:

1. Commitment to Cooperation. Each Consortium Member hereby commits to cooperatively carry out the NSP2 Program in the approved application.
2. Designation of Lead Member. The Consortium Members hereby designate Development to act in the representative capacity for all members of the consortium (the "Lead Member"). Development as the Lead Member shall assume overall responsibility for ensuring the consortium's NSP2 Program is carried out in compliance with all NSP2 requirements.
3. Consortium Funding Agreement. The Consortium Members shall enter into a consortium funding agreement governing the use of the NSP2 funding no later than December 1, 2009.
4. Environmental Review Requirements. Each Consortium Member hereby authorizes Development as the Lead Member to assume all responsibility for

environmental review, decision-making and action for the proposed projects approved within NSP2 Program application within the State of Ohio on behalf of the consortium in accordance with the requirements of 24 CFR Part 58.

5. Internal Auditor. Each Consortium Member authorizes Development as Lead Member to act as the internal auditor to carry out internal audits of any NSP2-assisted activity.

6. Code of Conduct. Each Consortium Member shall abide by the code of conduct submitted as part of the NSP2 Program Application and further outlined by the following:

(a) General. Consortium Member shall comply with all applicable federal, state, and local laws in the performance of Consortium Member's obligations under this Agreement. Consortium Member shall pay or cause to be paid all unemployment compensation, insurance premiums, workers' compensation premiums, income tax deductions, social security deductions, and any and all other taxes or payroll deductions required for all employees engaged by Consortium Member in connection with the performance of the work authorized by this Agreement.

(b) Ethics. In accordance with Executive Order 2007-01S, the Consortium Member, by its signature on this document, certifies: (1) it has reviewed and understands Executive Order 2007-01S, (2) has reviewed and understands the Ohio ethics and conflict of interest laws including, without limitation, Ohio Revised Code §§ 102.01 *et seq.*, §§ 2921.01, 2921.42, 2921.421 and 2921.43, and §§ 3517.13(I) and (J), and (3) will take no action inconsistent with those laws and the order, as any of them may be amended or supplemented from time to time. The Consortium Member understands that failure to comply with Executive Order 2007-01S is, in itself, grounds for termination of this Agreement and the grant of funds made pursuant to this Agreement and may result in the loss of other contracts or grants with the State of Ohio.

7. Miscellaneous.

(a) Term. This Agreement shall be effective as of July 10, 2009 and shall remain in effect until the completion and close-out of the NSP2 Program.

(b) Governing Law. This Agreement shall be governed by the laws of the State of Ohio as to all matters including, but not limited to, its validity, construction, effect and performance

(c) Assignment. Neither this Agreement nor any rights, duties, or obligations of any Consortium Member pursuant to this Agreement shall be assigned without the prior express written consent of the other Consortium Members.

(d) Counterparts. This Agreement may be executed in several counterparts and by each Consortium Member on a separate counterpart, each of which, when so executed and delivered shall be an original, but all of which together shall constitute but one and the same instrument.

(e) This Agreement shall be subject to any additional rules, requirements, modifications or clarifications the federal government may institute regarding ARRA funds.

IN WITNESS WHEREOF, the parties have caused this Consortium Agreement to be executed by their respective duly authorized representatives set forth below:

Ohio Department of Development

Lisa Patt-McDaniel
Interim Director


Signature/Authorized Official 7/15/2009
Date

Candace M. Jones
Chief Legal Counsel & Ethics Officer
Authorized Signatory for Lisa Patt McDaniel,
Interim Director

**Community Action Partnership of
the Greater Dayton Area**

By: _____

Name: _____

Date: _____

**Community Action Commission
of Fayette County**

By: _____

Name: _____

Date: _____

**Gallia-Meigs Community Action
Agency, Inc.**

By: _____

Name: _____

Date: _____

**Mid-Ohio Regional Planning
Commission**

By: _____

Name: _____

Date: _____

**Neighborhood Development
Services, Incorporated**

By: _____

Name: _____

Date: _____

**Ohio Regional Development
Corporation**

By: _____

Name: _____

Date: _____

**WSOS Community Action
Commission**

By: _____

Name: _____

Date: _____

IN WITNESS WHEREOF, the parties have caused this Consortium Agreement to be executed by their respective duly authorized representatives set forth below:

Ohio Department of Development

Lisa Patt-McDaniel
Interim Director

By: _____

Name: _____

Date: _____

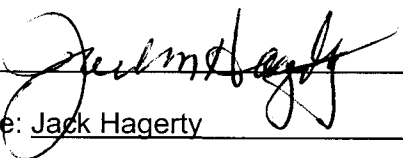
**Community Action Partnership of
the Greater Dayton Area**

By: _____

Name: _____

Date: _____

**Community Action Commission
of Fayette County**

By:  _____

Name: Jack Hagerty

Date: 7-10-09

**Community Action Program
Committee of Meigs and Gallia
Counties**

By: _____

Name: _____

Date: _____

**Mid-Ohio Regional Planning
Commission**

By: _____

Name: _____

Date: _____

**Neighborhood Development
Services, Incorporated**

By: _____

Name: _____

Date: _____

**Ohio Regional Development
Corporation**

By: _____

Name: _____

Date: _____

**WSOS Community Action
Commission**

By: _____

Name: _____

Date: _____

funds.

IN WITNESS WHEREOF, the parties have caused this Consortium Agreement to be executed by their respective duly authorized representatives set forth below:

Ohio Department of Development

Lisa Patt-McDaniel
Interim Director

By: _____

Name: _____

Date: _____

**Community Action Partnership of
the Greater Dayton Area**

By: _____

Name: _____

Date: _____

**Community Action Commission
of Fayette County**

By: _____

Name: _____

Date: _____

**Community Action Program
Committee of Meigs and Gallia
Counties**

By: _____

Name: _____

Date: _____

**Mid-Ohio Regional Planning
Commission**

By:  _____

Name: Chester R. Doudar, Jr.

Date: 7/14/09

**Neighborhood Development
Services, Incorporated**

By: _____

Name: _____

Date: _____

**Ohio Regional Development
Corporation**

By: _____

Name: _____

**WSOS Community Action
Commission**

By: _____

Name: _____

funds.

IN WITNESS WHEREOF, the parties have caused this Consortium Agreement to be executed by their respective duly authorized representatives set forth below:

Ohio Department of Development

Lisa Patt-McDaniel
Interim Director

By: _____

Name: _____

Date: _____

**Community Action Partnership of
the Greater Dayton Area**

By: _____

Name: _____

Date: _____

**Community Action Commission
of Fayette County**

By: _____

Name: _____

Date: _____

**Community Action Program
Committee of Meigs and Gallia
Counties**

By: _____

Name: _____

Date: _____

**Mid-Ohio Regional Planning
Commission**

By: _____

Name: _____

Date: _____

**Neighborhood Development
Services, Incorporated**

By: _____

Name: _____

Date: _____

**Ohio Regional Development
Corporation**

By: Chris Bennett C. Devel. Corp

Name: Chris Bennett

**WSOS Community Action
Commission**

By: _____

Name: _____

Date: 7 10 09

Date: _____

funds.

IN WITNESS WHEREOF, the parties have caused this Consortium Agreement to be executed by their respective duly authorized representatives set forth below:

**Community Action Partnership of
the Greater Dayton Area**

By: _____

Name: John T. Donnellan CEO

Date: 7-10-2009

Date: 7-10-2009

**Community Action Program
Committee of Meigs and Gallia
Counties**

By: _____

Name: _____

Date: _____

**Neighborhood Development
Services, Incorporated**

By: _____

Name: _____

Date: _____

**WSOS Community Action
Commission**

By: _____

Name: _____

IN WITNESS WHEREOF, the parties have caused this Consortium Agreement to be executed by their respective duly authorized representatives set forth below:

Ohio Department of Development

Lisa Patt-McDaniel
Interim Director

By: _____

Name: _____

Date: _____

**Community Action Partnership of
the Greater Dayton Area**

By: _____

Name: _____

Date: _____

**Community Action Commission
of Fayette County**

By: _____

Name: _____

Date: _____

**Gallia-Meigs Community Action
Agency, Inc.**

By: 

Name: Theodore T. Reed, III

Date: July 13, 2009

**Mid-Ohio Regional Planning
Commission**

By: _____

Name: _____

Date: _____

**Neighborhood Development
Services, Incorporated**

By: _____

Name: _____

Date: _____

**Ohio Regional Development
Corporation**

By: _____

Name: _____

Date: _____

**WSOS Community Action
Commission**

By: _____

Name: _____

Date: _____

funds.

IN WITNESS WHEREOF, the parties have caused this Consortium Agreement to be executed by their respective duly authorized representatives set forth below:

Ohio Department of Development

Lisa Patt-McDaniel
Interim Director

By: _____

Name: _____

Date: _____

**Community Action Partnership of
the Greater Dayton Area**

By: _____

Name: _____

Date: _____

**Community Action Commission
of Fayette County**

By: _____

Name: _____

Date: _____

**Community Action Program
Committee of Meigs and Gallia
Counties**

By: _____

Name: _____

Date: _____

**Mid-Ohio Regional Planning
Commission**

By: _____

Name: _____

Date: _____

**Neighborhood Development
Services, Incorporated**

By:  _____

Name: C. David Vaughan, Executive
Director

Date: 7/10/09

**Ohio Regional Development
Corporation**

By: _____

Name: _____

Date: _____

**WSOS Community Action
Commission**

By: _____

Name: _____

Date: _____

IN WITNESS WHEREOF, the parties have caused this Consortium Agreement to be executed by their respective duly authorized representatives set forth below:

Ohio Department of Development

Lisa Patt-McDaniel
Interim Director

By: _____

Name: _____

Date: _____

**Community Action Partnership of
the Greater Dayton Area**

By: _____

Name: _____

Date: _____

**Community Action Commission
of Fayette County**

By: _____

Name: _____

Date: _____

**Community Action Program
Committee of Meigs and Gallia
Counties**

By: _____

Name: _____

Date: _____

**Mid-Ohio Regional Planning
Commission**

By: _____

Name: _____

Date: _____

**Neighborhood Development
Services, Incorporated**

By: _____

Name: _____

Date: _____


**Ohio Regional Development
Corporation**

By: _____

Name: _____

Date: _____

**WSOS Community Action
Commission**

By:  _____

Name: Neil McCabe, President/CEO

Date: 7-10-09

Program summary

HUD NSP2 Application Number: 348919457

Overview

The Ohio Department of Development is requesting \$50 million in NSP2 funds to undertake a comprehensive initiative that addresses vacant and abandoned properties and stimulates revitalization in small cities and rural areas across the state. Working in collaboration with a network of seven strong, experienced local non-profit consortium members and other committed project partners, the state will use NSP2 resources in the diverse local markets in 176 census tracts in 33 counties that make up the target geography. It is anticipated that NSP2 activities will benefit all target census tracts.

ODOD will use NSP2 funds for the following activities and estimated outcomes:

NSP-Eligible Uses	Amount	Estimated Outcomes
A) Establish financing mechanisms for purchase and redevelopment of foreclosed upon homes and residential properties	4,100,000	100 units
B) Purchase and rehabilitate homes and residential properties that have been abandoned or foreclosed upon for sale, rent, or redevelopment	19,900,000	210 units
C) Demolish blighted structures	4,500,000	360 units
D) Redevelop demolished or vacant properties as housing	16,500,000	190 units
Administration	5,000,000	
Total	\$50,000,000	860 units

The Ohio Housing Finance Agency (OHFA), an independent state agency, has committed \$3.5 million of Ohio Housing Trust Fund dollars as leverage for the NSP2 application. Trust Fund dollars are fee-based state resources legally under the administrative control of OHFA.

Coalition members and geographic regions

The 33 counties that include the target census tracts are grouped into seven regions, each built around the service area of a nonprofit consortium member: Region 1, WSOS Community Action Commission—Allen, Hancock, Marion, Putnam, Seneca, Van Wert, Wood; Region 2, Neighborhood Development Services—Columbiana, Harrison, Jefferson, Medina, Portage; Region 3, Ohio Regional Development Corporation—Belmont, Coshocton, Crawford, Guernsey, Morgan, Morrow, Muskingum; Region 4, Mid-Ohio Regional Planning Commission—Fairfield, Licking, Perry, Ross; Region 5, Community Action Partnership of the Greater Dayton Area—Darke; Region 6, Community Action Commission of Fayette County—Adams, Brown, Clinton, Fayette, Highland; Region 7, Gallia-Meigs Community Action Agency Inc.—Pike, Meigs, Scioto, Vinton.

Need for stabilization

From 2004 to 2007, the 176 target census tracts had 17,291 mortgages either starting the foreclosure process or seriously delinquent, 43% of all foreclosures in their counties. In these tracts, a total of 36,012 mortgages between 2004 and 2007 were high cost, highly leveraged, or both, representing 1-in-3 mortgages. The U.S. Postal Service vacant property database included 15,475 vacant residential addresses in the target tracts in the first quarter of 2009. Of these, 57.4% had been vacant for 12 months or longer. The target tracts also suffer from aging and obsolete housing stock.

In addition to needs related to housing, characteristics of the population and economy also demonstrate the need for stabilization. In May 2009 there were 122,500 unemployed people in the 33 target counties, a 107% growth in unemployment over two years. From 2000 to 2008, the target census tracts had an estimated 1.2% drop in total population. The target area has adult educational attainment levels below that of the state, and local governments have fewer resources to address the fallout of the housing crisis because of shrinking tax revenue and growth in low-income populations. Loss of employment is a critical factor, along with subprime and predatory lending, in housing foreclosure and abandonment in the target area.

Market analysis

The market analysis conducted for the NSP2 application looked at monthly absorption and quarterly net change in long-term vacant addresses (those vacant 12+ months, an indicator of abandonment). It is estimated that the 176 census tracts have an aggregate monthly absorption rate of 5.0% for vacant residential addresses. Looking only at this rate, the target area's overall inventory of 8,876 long-term vacant addresses would be reduced to 573 in three years, although the absorption rate varies widely by tract. When projected net new long-term vacancies are factored in, in three years, without NSP2 funding or other intervention, the long-term vacant inventory would include 9,684 addresses, a 9.1% *increase*.

Most appropriate activities

Because the target geography for this application is large and diverse, a census tract typology was developed to provide a framework for determining proposed NSP2 activities and for the selection of specific projects in the target tracts. The framework groups tracts into housing market "types," based on five variables, which reflect various dimensions of the market: 1) rate of long-term vacant addresses; 2) vacant address absorption rate; 3) projected household change; 4) median household income; and 5) unemployment rate. The four market types are: 1) relatively stable market—17 tracts; 2) at-risk market—49 tracts; 3) destabilizing market—72 tracts; and 4) distressed market—38 tracts.

Demonstrated capacity

The lead applicant for the consortium is the Ohio Department of Development (ODOD), Office of Housing and Community Partnerships (OHCP), which administers federal and state grant programs totaling more than \$200 million annually. OHCP staff has extensive experience in grants management and fiscal oversight, as well as critical knowledge of housing program implementation. OHCP programs fund housing repair, rehabilitation, down payment assistance, affordable rental housing development, and comprehensive planning and needs assessment activities of local governments and non-profit organizations. Staff oversees projects that include residential rehabilitation standards and on-site management of acquisition, rehabilitation, and resale programs.

Among the consortium members—ODOD and the seven local nonprofits—there is documented, collective experience of successfully carrying out and completing at least 75 units of housing within the 24-month period prior to May 2009, in each activity proposed for NSP2 funding.

Coordinated components

ODOD's NSP2 funds will coordinate with and expand the state's long-standing housing and community development, housing finance, and homeownership programs serving the target geography, as well as recent programs initiated to address the foreclosure crisis. ODOD and OHFA will target state funding and programs to areas where NSP2 dollars are used, and the Ohio NSP2 consortium members will coordinate existing resources and activities in the target area. The application identifies nine specific state programs and a dozen specific local programs that will be coordinated with, or expanded by, NSP2 funds.

Schedule and milestones

The application includes a detailed, month-by-month schedule outlining actions by ODOD and consortium members to ensure effective implementation of the NSP2 program within required timeframes. Included in the schedule are grant management, communication, activity implementation, and expenditure activities and milestones. In order that funds can be spent within NSP2 timeframes, ODOD and the consortium members have identified some projects that can get underway quickly—within four months after HUD grant approval—and show measurable results within the first year.

Consultation with local government and interested parties

ODOD consulted with the County Commissioners Association of Ohio as part of the process of selecting the NSP2 target census tracts and sent a letter explaining the application for NSP2 funds to each office of municipal and county government intersecting the NSP2 target tracts. Local consortium members also communicated with numerous local government elected and/or appointed officials, via e-mail, telephone, and/or in-person meeting, as part of development of the NSP2 proposal. Methods for ongoing communication with local governments and other interested parties are included in the NSP2 implementation plan.

Energy efficiency and sustainable development

The NSP2 activities will incorporate transit accessibility, green building standards, reuse of cleared sites, and deconstruction methods, as well as additional sustainable development standards that incorporate, and in some cases exceed, many of the green practices recommended by HUD as a part of the NOFA for this application.

Consistency with and relationship to plans

Consortium members identified 13 diverse plans—housing, comprehensive/general, land use, economic development, and transportation—that NSP2 activities will coordinate with and support. The plans identify a range of housing and community needs—abandoned properties, distressed neighborhoods, housing need—that NSP2 and other resources will help tackle. The plans also provide a framework for the coordination of resources toward community development objectives, placing housing into a larger context that includes economic revitalization, infrastructure, and social services.

Factor 1: Need/Extent of the Problem

a. Target geography

The target geography includes 176 census tracts within 33 primarily rural/non-urban counties. The tracts have an average max foreclosure score of 18.69 as determined by the HUD Needs Factor website (see Appendix B). Each of the 33 counties has at least 4 census tracts, *or* 33% of all tracts in the county, that meet the threshold score of 18 on either of HUD's foreclosure related needs indices (the foreclosure needs index *or* the foreclosure with vacancy risk index).

The counties are grouped into 7 regions, built around the service area of an NSP2 consortium member, each of whom is a local nonprofit housing developer (Map 1): Region 1, WSOS Community Action Commission—Allen, Hancock, Marion, Putnam, Seneca, Van Wert, Wood; Region 2, Neighborhood Development Services—Columbiana, Harrison, Jefferson, Medina, Portage; Region 3, Ohio Regional Development Corporation—Belmont, Coshocton, Crawford, Guernsey, Morgan, Morrow, Muskingum; Region 4, Mid-Ohio Regional Planning Commission—Fairfield, Licking, Perry, Ross; Region 5, Community Action Partnership of the Greater Dayton Area—Darke; Region 6, Community Action Commission of Fayette County—Adams, Brown, Clinton, Fayette, Highland; Region 7, Gallia-Meigs Community Action Agency Inc.—Pike, Meigs, Scioto, Vinton.

Need for neighborhood stabilization

Because the target geography includes primarily rural areas and small cities and villages, the urban concept of “neighborhood” is not always applicable. However, the target geography clearly exhibits the characteristics of areas in need of housing stabilization. The analysis below includes HUD NSP2 Need Data, data from other secondary sources, and information from the Consortium members, who have in-depth knowledge of conditions in the target geography.

Unemployment: Between May 2007 and May 2009, the number of people who were unemployed in the 33 target counties increased from 59,100 to 122,500. This 107% growth in unemployment outpaced the state, which had a 92% increase. In May 2009, the unemployment rates for the target counties ranged from 8.1% to 15.8%, and 24 of the counties had rates above the state figure of 10.8% (Source: Ohio Labor Market Information, Labor Force Estimates). Consortium members indicate recent business closures and downsizing (e.g. ABX-DHL Airpark, Severstal Wheeling, Phillips Display Components) have meant the abrupt loss of hundreds, and sometimes thousands, of jobs in these small Ohio communities.

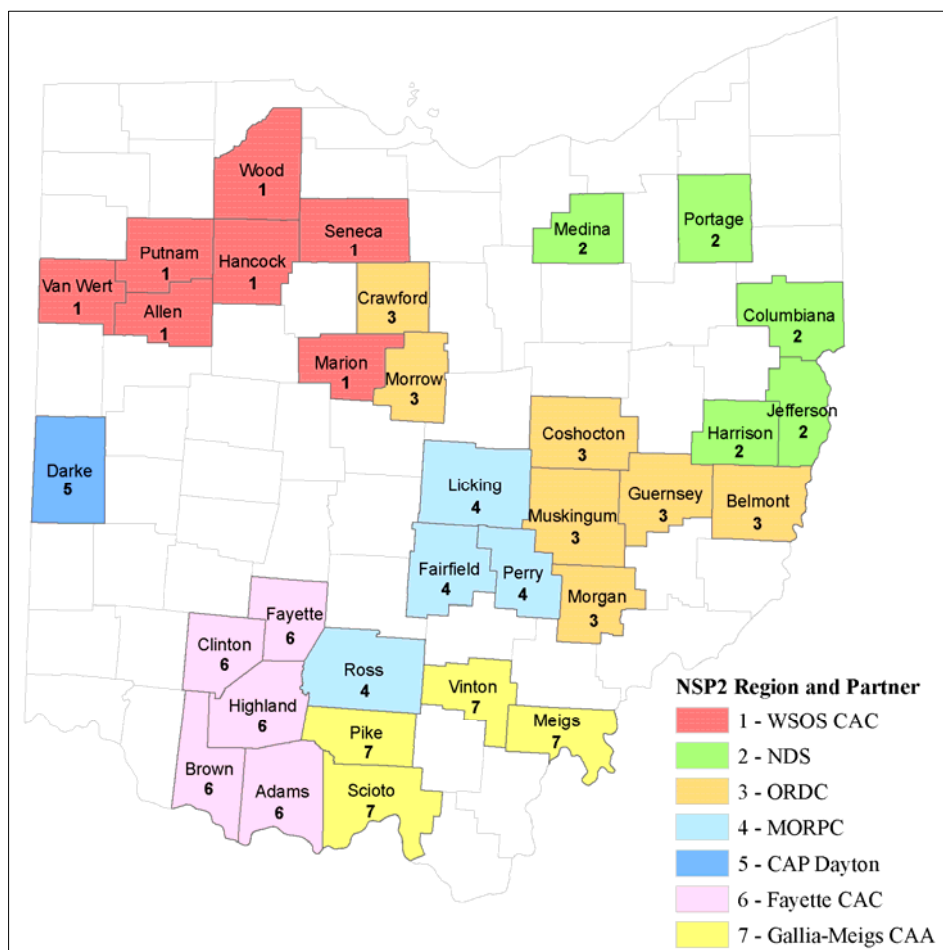
Population loss: Twelve of the target counties lost population from 2000 to 2008. The target census tracts had an estimated 1.2% drop in total population (from 774,767 to 765,084) from 2000-2008, compared to a 2.5% increase for the state overall. Among the 176 target tracts, 88 decreased in population, and 52 had a decrease of 5% or more. Another 50 tracts had little or no population change (Source: ESRI Business Analyst estimates).

Foreclosure: From 2005 to 2008, foreclosure filings increased by 36% in the 33 target counties (Source: PolicyMatters Ohio analysis of court data). From 2004 to 2007, the 176 target census tracts had 109,254 total home mortgages. In 2006 and 2007, 17,291 mortgages were either starting the foreclosure process or seriously delinquent. These census tracts, which had 36% of the target counties' households, had 43% of all foreclosures (Source: HUD NSP2 Dataset).

Vacant and abandoned housing: The U.S. Postal Service vacant property database included 334,739 total residential addresses in the target tracts in the first quarter of 2009, and 15,475 total

vacant addresses (4.6%), Over half (57.4%) of the vacant residential addresses had been continuously vacant for 12 months or longer, an indicator of possible abandonment.

Map 1. NSP2 Counties by Regional Consortium Member



Aging housing stock: Consortium members note that, while foreclosed homes are found in both newer and older areas of the target counties, many housing markets in the target tracts also suffer from aging and obsolescence of the housing stock. In the target census tracts, 38.6% of all housing units were built before 1950, compared to 31.4% statewide. The highest concentrations of this older housing stock are in Region 5 (52.1%), Region 3 (44.8%), Region 7 (44.3%) and Region 1 (40.3%) (Source: ESRI Business Analyst).

Credit: Mortgages in the target tracts that are high cost, highly leveraged, or both, provide a picture of subprime mortgage activity and related foreclosure risk. In the 176 target tracts, a total of 36,012 mortgages between 2004 and 2007 were in one of these groups, representing 1-in-3 mortgages. High-cost, low-leverage mortgages were the largest group, with 23,618 mortgages (Source: HUD NSP2 Dataset). Property scams and equity-stripping are contributing factors to foreclosure in some target area communities, according to consortium members.

Relationship of market, credit, and employment needs. Ohio has had a softening of the housing market, and from 2006 to 2008, existing home sales fell by 16.6% statewide. (Source:

National Association of Realtors). The Ohio Housing Finance Agency notes that the depressed housing market, stricter credit standards, and unemployment statewide are particularly problematic in rural areas. Issues include: 1) lack of readily accessible lenders, especially those that offer products such as FHA or Rural Development loans for low- and moderate-income customers; 2) decreased emphasis on the Community Reinvestment Act; 3) a general perception on the part of lenders that rural lending carries increased risk; and 4) disproportionate impact of employment reductions, with fewer job options if the major employer shuts down or has layoffs. ODOD's Residential Revitalization Division indicates that it has become increasingly difficult to find credit-worthy clients for its Community Housing Improvement Program the past 3 years.

b. Market conditions and demand factors

Community Research Partners (CRP), a Columbus-based nonprofit research center with extensive experience in analyzing demographic, social, economic, and property data, prepared the analysis of market conditions and demand factors for the ODOD application. Recent CRP projects include research on vacant and abandoned properties in eight Ohio cities, analysis of Franklin County foreclosure data, and data analysis for a city of Columbus NSP1 market analysis.

(1) 3-year absorption analysis

Because the target area encompasses 176 census tracts across 33 counties, data that would typically be used for a neighborhood market analysis—vacant and abandoned property inventories and detailed sales data—were not available. Instead, the analysis uses primarily tract level USPS vacant address data and ESRI Business Analyst data to assess supply and demand. Using data from the most recent five quarters of the USPS vacant addresses database (Q1 2008 through Q1 2009), CRP calculated two historic measures of absorption: 1) monthly absorption of vacant addresses, and 2) quarterly net change in vacant addresses (newly vacated minus vacant returned to service). These measures were applied to a baseline inventory of all vacant addresses in Q1 2009 and projected forward over three years. The projections include only long-term vacant addresses (those vacant 12+ months), because those are most likely to include abandoned units. Because it is not possible in the USPS data set to determine the percent of absorptions that have been long-term vacant addresses, the analysis applies the absorption rate for all vacant addresses to the long-term vacant inventory. The analysis also assumes that long-term vacancies will be the same proportion of net new vacant addresses over the next three years as they were within the Q1 2008-Q1 2009 data set.

Absorption analysis and projections: It is estimated that the 176 census tracts have an aggregate monthly absorption rate of 5.0% for vacant residential addresses (Table 1). Looking only at this rate, the target area's overall inventory of 8,876 long-term vacant addresses would be reduced to 573 in 3 years, although the absorption rate varies widely by tract (Table 1, note 1). When projected net new long-term vacancies are factored in, in 3 years, without NSP2 funding or other intervention, the long-term vacant inventory would include 9,684 addresses, a 9.1% *increase*. The analysis finds increases in six regions, with only Region 3 having a reduction.

Table 2 shows the distribution of census tracts within each region by net number of long-term vacant addresses projected to be absorbed or added over three years, using the methodology described above. Of the 176 tracts, 59 show a reduction in long-term vacancies, 96 show an increase, and 21 show minimal change. The detailed, tract level absorption analysis conducted as part of the market analysis is being used to guide specific NSP2 investment strategies.

Table 1: Long-term vacant address absorption analysis and 3-year projection (1)

Regions (# of target tracts)	Foreclosure starts and serious delinquencies, 2006-2007	Vacant Addresses		Long-term Vacant Address Absorption and Net Increase (2)			3-year projected net new households (5)
		Total vacant residential addresses, Q1 2009	Total long-term (12+ months) vacant residential addresses, Q1 2009	Aggregate absorption rate per month (3)	Inventory remaining after 3 years when <i>only</i> absorption rate is applied	3- year net long-term vacancies (absorption +/- net new long-term vacancies) (4)	
Region 1 (52 tracts)	5,362	4,199	2,446	4.8%	111	2,509	680
Region 2 (30 tracts)	2,728	3,440	1,928	4.8%	215	2,204	752
Region 3 (38 tracts)	3,462	2,969	1,861	5.0%	34	1,622	125
Region 4 (16 tracts)	1,894	1,137	474	8.4%	10	652	2,016
Region 5 (4 tracts)	456	471	273	4.7%	0	276	-6
Region 6 (24 tracts)	2,656	2,646	1,644	3.8%	195	2,158	890
Region 7 (12 tracts)	733	613	250	7.3%	7	262	26
NSP2 target area (176 tracts)	17,291	15,475	8,876	5.0%	573	9,684	4,483

- (1) For this table, calculations at the tract-level were aggregated to the region level. When a tract's long-term vacant inventory reached "0" in the absorption calculation, it was removed from the absorption analysis. Although the 5% absorption rate for the total target area would typically indicate that there is a 20-month inventory, the months of inventory vary widely across the 176 tracts, from as low as 3 months, to as high as 182 months.
- (2) USPS addresses vacant 12+ months were used as a proxy for vacant and abandoned housing
- (3) Absorption rate for long-term vacant addresses was calculated using the absorption rate for all vacant residential addresses in the Q1 2008-Q1 2009 dataset
- (4) The net change number was determined by *subtracting* the average monthly absorption then *adding* the average quarterly net new vacancies from Q1 2008-Q1 2009. Net new long-term vacant were based on figures for all vacant addresses (see note 2). It was assumed that, over the next three years, net long-term vacant addresses will the same proportion of net total vacant addresses as was the case in the past.
- (5) ESRI Business Analyst 2008-2013 projections at the tract level were used to calculate the average monthly number of households gained or lost.

Sources: HUD/USPS Vacant Address Dataset, ESRI Business Analyst

Table 2: Distribution of census tracts by estimated net 3-year long-term vacant addresses

Long term vacant addresses	Number of Tracts							Total Tracts
	Region 1	Region 2	Region 3	Region 4	Region 5	Region 6	Region 7	
50+ absorbed	1	1	2	0	1	2	0	7
20-49 absorbed	5	4	1	1	0	0	0	11
10-19 absorbed	4	2	3	1	0	2	1	13
3-9 absorbed	11	4	5	4	0	3	1	28
+2 to -2	9	2	5	2	0	0	3	21
3-9 added	7	3	3	0	0	1	4	18
10-19 added	5	2	6	4	0	1	0	18
20-49 added	5	6	7	4	2	11	2	37
50+ added	5	6	6	0	1	4	1	23
Total tracts	52	30	38	16	4	24	12	176

Impact of population and employment trends: Projected net new households by region (Table 1) indicate that only in Region 4, which includes two counties in the Columbus MSA, does projected growth for the target tracts exceed the net long-term vacant inventory projections. The tracts in Regions 1, 2, and 6 are projected to have modest household growth of from 25%-50% of the projected inventory. Very small household growth is projected for Regions 3 and 7, and a loss of households is projected for the tracts in Region 5. Because the household projections are not stratified by size, family type, or income, it is not known if these new households would choose to own or rent the available long-term vacant housing or would be NSP2 income eligible.

The significant increase in unemployment described in Section 1a has accelerated foreclosure and depressed home sales in Ohio and in the census tracts, and this impact is likely to be felt in the target area housing markets for at least the next couple of years. However, consortium members identified local economic development activities and assets that may help to create jobs and boost housing markets. Examples include: 1) local economic development coalitions; 2) land assembly for development; 3) quality industrial parks; 4) intermodal rail and highway access, and 5) diversifying economies (e.g. green jobs). They also cited specific employers or industries that are continuing to grow or have the potential to bring new jobs in the future.

(2) Over-building, over-valuation, and loss of employment

Over-building: To analyze over-building, CRP compared building permits for residential units from 1999 to 2006 (Ohio Department of Development) and household change from 2000 to 2008 (ESRI Business Analyst) at the county-level. “Over-building” is considered to be a ratio of permitted units to household growth at or above 1.5. Using this criterion, only 8 of the 33 target counties show indications of over-building: Seneca (5.8), Allen (4.7), Marion (3.9), Van Wert (3.7), Darke (2.5), Fayette (2.0), Wood (1.7), and Portage (1.5). Five of these counties are in Region 1. Four other counties (Belmont, Crawford, Jefferson, Scioto) had permits for several hundred residential units and a loss of households. Additional analysis is needed to determine the impact of overbuilding on abandonment and foreclosure in the target census tracts; however, it does not appear to be a major or widespread market factor in most of the target counties.

Over-valuation: Over-valuation of housing is not a factor in abandonment or foreclosure in the target geography. The HUD data set, which includes housing price change between peak value and December 2008, shows very small price drops across the 176 target tracts, ranging from a decrease of .5% to a decrease of 6.6%. Most tracts had a drop of less than 1%. This reflects the

fact that Ohio did not experience a housing price “bubble” as did other parts of the country, and, therefore, has not had large housing price drops seen in other states.

Loss of employment: Loss of employment is a critical factor, along with subprime and predatory lending, in housing foreclosure and abandonment in the target area. In May 2009, 24 of the 33 counties had unemployment rates greater than the statewide rate of 10.2%, and 13 counties had rates of 13.0% or more. As noted in Section 1a, across the 33 counties, there was a 107% growth in unemployment from May 2007 to May 2009. Rising unemployment, and fear of unemployment, has stifled home purchase demand and increased the number of homeowners and rental property owners unable to meet their mortgage obligations, often leading to foreclosure.

(3) Income characteristics and housing cost burden

Of the 30 counties for which data were available, 25 had a 2007 median household income below the state figure of \$46,296, and 12 had a median income below \$40,000 (American Community Survey). In the 176 target census tracts, an estimated 206,205 households meet the NSP2 definition of low, moderate, or middle income (Table 3). Twenty-nine percent of all households were below 50% of area median income, 19% were between 50% and 80% AMI, and 21% were above 80% but below 120% AMI (Source: ESRI Business Analyst est.).

Table 3: Number of households by income group by region

	Total households	Below 50% AMI	50-80% AMI	80-120% AMI
Region 1	78,851	21,090	15,684	18,247
Region 2	53,476	14,681	10,636	10,214
Region 3	58,794	18,677	11,523	12,254
Region 4	39,713	9,142	5,372	7,962
Region 5	7,558	2,015	2,006	1,303
Region 6	44,289	12,720	8,349	10,414
Region 7	17,760	7,259	3,621	3,036
All target tracts	300,441	85,584	57,191	63,430

Source: ESRI Business Analyst 2008 estimates; Analysis was done at the census tract level, and income groupings were the best available using the income breaks in the data set.

In the target counties for which ACS data were available, 84,000 renter households and 408,147 owner households with incomes below \$75,000 were cost-burdened (Table 4). Nearly three-quarters of cost-burdened renters had incomes below \$20,000, and 42% of cost-burdened owners had incomes below \$35,000.

Table 4: Households paying more than 30% gross income for housing, 29 target counties (1)

Income Group	All renter HHs	Cost-burdened renters		All owner HHs	Cost-burdened owners	
Less than \$10,000	32,253	27,815	86.2%	74,276	48,571	65.4%
\$10,000-\$19,999	42,455	33,690	79.4%			
\$20,000-\$34,999	44,017	18,974	43.1%	97,868	36,150	36.9%
\$35,000-49,999	30,262	3,009	9.9%	98,213	26,707	27.2%
\$50,000-74,999	21,416	478	2.2%	137,790	20,320	14.7%
Total	170,403	83,966	49.3%	408,147	131,748	32.3%

Source: American Community Survey 2005-2007 3-Year Estimates

(1) Renter cost burden data not available for Harrison, Morgan, Morrow, and Vinton counties; owner cost burden data not available for Harrison, Morgan, and Vinton counties

(4) Other relevant factors

In addition to the factors of population loss, job loss and unemployment, low household income and housing cost burden, and aging and deteriorating housing stock described previously, the following may contribute to decline or instability within the target geography:

Educational factors. In the target census tracts, adult educational attainment is below levels for the state, with 63.6% of adults having no education beyond high school, compared to 53.1% for Ohio. Only 19.2% of target area adults have a 2-year degree or higher, compared to 27.0% of all Ohio adults (Census 2000). Consortium members note that college graduates are not staying in, or returning to, the target areas. In addition, local school districts are feeling the impact of decreases in the tax base and have difficulty passing school levies when taxpayers are struggling.

Local government factors. Consortium members note that, for most of the communities included in the target area, extensive job losses have resulted in loss of tax revenue and a major drain on local resources. This means there are fewer local government resources to address the fallout of the housing crisis, although some local governments are trying to be part of the solution to foreclosure by providing mediation and tax payment workouts. Cutbacks in police and fire services and parks and recreation facilities have had a substantial effect on marketability of communities. In some parts of the target area there is a lack of water and sanitary sewer service infrastructure, and some target counties have been severely affected by floods.

Social factors. In 2007, poverty rates in the seven regions ranged from 16% to 25% (American Community Survey), and the 176 target census tracts include an estimated 24,283 female headed households with children (ESRI Business Analyst). There has been a growth in low-income populations, according to consortium members, while social service providers, food pantries, and homeless shelters are feeling the effects of reduced revenues. Local Job and Family Services Departments are experiencing significant increases in requests for public assistance, while facing funding cuts and cost containment issues.

Economic factors. According to consortium members, throughout the target area there has been noticeable residential disinvestment due to falling house values and lack of discretionary income for home maintenance. In some areas, there are large pools of properties to rehabilitate or demolish.

Housing stock factors. Small cities and rural areas typically have proportionately less rental housing stock than do urban areas, and there is often a very limited supply of affordable rental housing. In 2008, 2+ unit structures made up only 27% of the housing stock in the target census tracts (ESRI Business Analyst). Some consortium members indicated that the majority of affordable rental housing in their region is located in areas of decline.

(5) Most appropriate activities

Because the target geography for this application is large and diverse, a census tract typology was developed to guide NSP2 investment decisions (Tables 5 and 6; Map 2). The typology provides a framework for the proposed activities described under Factor 3, and, along with local market conditions and resource availability, for the selection of specific projects in the target tracts. The framework groups tracts into housing market “types,” based on five variables, which reflect various dimensions of the market: 1) rate of long-term vacant addresses; 2) vacant address absorption rate; 3) projected household change; 4) median household income; and 5) unemployment rate. Foreclosure rate is not used as a separate variable in the typology, but was a key factor in the initial selection of the target tracts.

Analysis of census tract-level data produced the four broad market types and related activity categories described below. If a tract did not fit all five criteria for a market type, it was assigned a type based on its predominant characteristics. “Appropriate NSP2 activities” below refers to activities that meet NSP2 income eligibility requirements for households or areas.

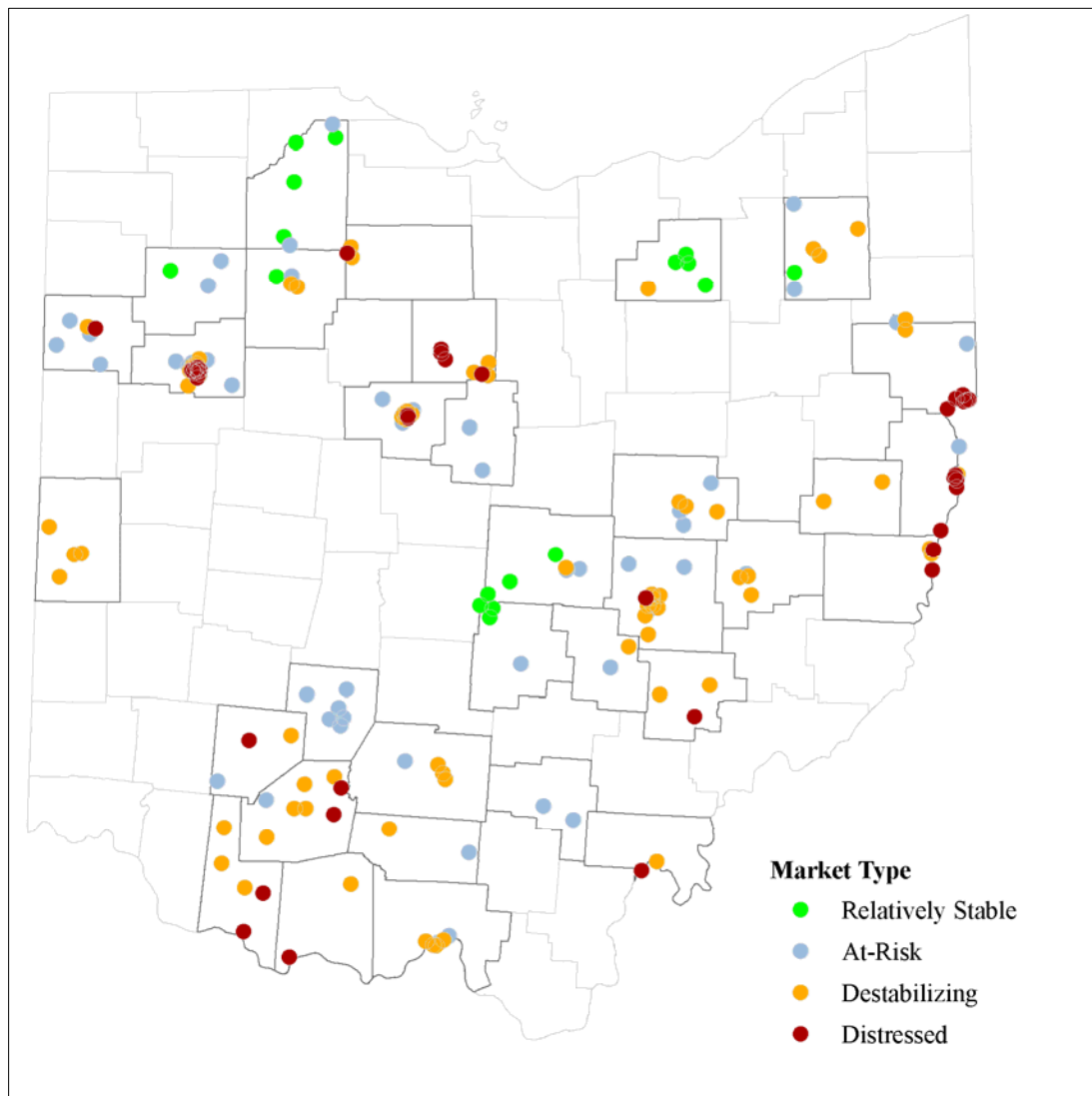
1. **Relatively stable market**—Lowest long-term vacancy rates, highest absorption rates, and strongest economic indicators (household growth, median income, unemployment).
Appropriate NSP2 activities: a) provide homebuyer financing mechanisms to augment market absorption of foreclosed properties; b) undertake selected small scale purchase/rehab and demolition and redevelopment to prevent spread of blight from problem properties. **Total tracts:** 17.
2. **At-risk market**—Higher long-term vacancies and lower absorption rates than the relatively stable markets, with economic indicators that are somewhat positive or mixed (household growth flat, moderate household income, relatively low unemployment); *Appropriate NSP2 activities:* a) provide homebuyer financing mechanisms to augment market absorption of foreclosed properties; b) purchase and rehab abandoned or foreclosed properties for sale or rent to improve community conditions and provide affordable housing options; c) undertake selected, small scale demolition and redevelopment to prevent spread of blight from problem properties. **Total tracts in this group:** 49
3. **Destabilizing market**—Much higher long-term vacancy rates and much lower absorption rates than the relatively stable markets, with economic indicators that are mostly negative (projected household loss, low median income, relatively high unemployment); *Appropriate activities:* a) purchase and rehab abandoned or foreclosed properties for sale or rent to improve community conditions and provide affordable housing options, b) demolish blighted structures to reduce the supply of vacant and abandoned units and assemble property for redevelopment; c) redevelop new, affordable owner or rental housing on vacant sites; d) provide financing mechanisms coordinated with rehab and redevelopment activities. **Total tracts in this group:** 72
4. **Distressed market**—Highest rate of long-term vacancy and lowest absorption rates, with the weakest economic indicators (highest projected household loss, lowest median income, and highest unemployment). *Appropriate activities:* a) demolish blighted structures to reduce the supply of vacant and abandoned units and assemble property for redevelopment; b) redevelop new, affordable owner or rental housing on vacant sites; c) purchase and rehab abandoned or foreclosed properties for sale or rent to in support of larger-scale redevelopment strategies, d) provide financing mechanisms coordinated with rehab and redevelopment activities. **Total tracts in this group:** 38

Table 5. NSP2 Market Typology Framework

Market Type	Long-term vacant address rate, Q1 2009	Vacant address absorption rate, 2008-09	Projected HH change, 2008-2013	Ratio of median HH income to AMI	Unemployment rate, April 2009
Relatively stable market	< 25 per 1,000	20.0%+	Gain of 2.5%+	1.20+	<10.0%
At-risk market	25-49 per 1,000	15.0-19.0%	-2.4% to 2.4%	0.80-1.19	10.0-11.9%
Destabilizing market	50-99 per 1,000	10.0-14.9%	Loss of 2.5-4.9%	0.50-0.79	12.0-13.9%
Distressed market	100+ per 1,000	< 10.0%	Loss of 5.0%+	< 0.50	14.0%+

Table 6. Distribution of target area census tracts by market type

Market Type	All tracts	Region 1	Region 2	Region 3	Region 4	Region 5	Region 6	Region 7
	176	52	30	38	16	4	24	12
Relatively stable market	17	6	5	0	6	0	0	0
At-risk market	49	17	5	9	5	0	8	5
Destabilizing market	72	17	9	21	5	4	10	6
Distressed market	38	12	11	8	0	0	6	1

Map 2. Target Area Census Tracts by Market Type

Factor 2: Demonstrated Capacity of the Applicant and Relevant Organizations

a. Past Experience of the Applicant

This section provides an overview of the experience of the NSP2 consortium members, which includes the Ohio Department of Development and the seven nonprofit development partners, in managing neighborhood stabilization activities similar to those covered in the NOFA. Among the consortium members, there is documented, collective experience of successfully carrying out and completing at least 75 units of housing within the 24-month period prior to May 2009, in each activity proposed for NSP2 funding.

The ODOD Office of Housing and Community Partnerships has had experience overseeing the implementation of the following NSP2-relevant activities, and has completed approximately the following numbers of units, during this time period:

- Finance mechanisms: 300 units/year
- Owner housing rehab: 621 units/year
- Renter housing rehab: 1,033 units/year
- Demolition: 106 units/year
- New construction for homeownership: 240 units/year
- New construction for rent: 1,169 units/year
- Property acquisition: 1,411 units/year

The experience of each of the other consortium members is described below. In some cases their housing activity represents the same units as those listed for ODOD above, while in other cases it represents additional activity. Unless otherwise noted, the completed unit data for the nonprofit consortium members refer to activity during the 24-month period prior to May 2009.

Consortium member (lead applicant): Ohio Department of Development (ODOD)

Overview: The Ohio Department of Development (ODOD), Office of Housing and Community Partnerships (OHCP) administers federal and state grant programs totaling more than \$200 million annually. The office designs, develops, and implements financial strategies ensuring appropriate internal controls and efficient operation, and policies and procedures for the following programs: Community Development Block Grant Program; HOME Investment Partnerships Program; Emergency Shelter Grant Program; Housing Opportunities for Persons With AIDS Program; Neighborhood Stabilization Program; Homelessness Prevention and Rapid Re-Housing Program; Ohio Housing Trust Fund; and other state-funded programs. The office is also actively engaged in a number of statewide, multi-stakeholder initiatives including the state's Save the Dream foreclosure efforts, the Interagency Council on Homelessness and Affordable Housing and the Governor's Anti-Poverty Task Force.

OHCP staff has extensive experience in grants management and fiscal oversight, as well as critical knowledge of housing program implementation. OHCP programs fund housing repair, rehabilitation, down payment assistance, affordable rental housing development, and comprehensive planning and needs assessment activities of local governments and non-profit

organizations. Staff oversees projects that include residential rehabilitation standards and on-site management of acquisition, rehabilitation, and resale programs.

Consortium member (Region 1): Wood, Sandusky, Ottawa and Seneca Community Action Commission (WSOS)***Organization overview:***

WSOS Community Action Commission is a multi-purpose organization with an annual operating budget in excess of \$20 million dollars and a 44-year track record of comprehensive service provision. WSOS is a Certified Housing Development Organization and a HUD Certified Counseling Agency, with 29 years experience in administering housing rehabilitation and repair programs. WSOS has co-developed more than 250 Low Income Housing Tax Credit rental units. The agency is currently implementing NSP 1 programs in six rural Ohio counties.

Summary of applicable recent activities:

Demolition: Awarded a contract for 90 demolitions as part of NSP1.

Acquisition/Rehabilitation: Completed 95 full housing rehabilitations, including qualifying residents, inspecting properties, writing specifications, issuing loans, managing construction process, and authorizing payments.

Redevelopment: Completed 4 unit redevelopment of vacant property by administering local CDBG resources to finance cooperating Habitat for Humanity builds on vacant property.

Program marketing and waiting lists: Marketed and managed waiting lists for housing rehabilitation and purchase programs in 10 communities and for a 6-county weatherization program; have two fulltime outreach/intake staff, a fulltime client management staff, and a fulltime agency Public Relations specialist.

Accessing operating and investment capital: Accessed \$4,292,000 in 2007-08 for rehabilitation and related activities and \$11 million in 2006-2008 for LIHTC project; partnered with for-profit developers and the Ohio Equity Fund to produce 89 units of LIHTC since 2006 (more than \$31 million in total development costs and 253 units since 2001).

Working productively with other organizations: Partnered with: 1) a local special needs housing provider to rehabilitate existing housing stock, 2) several local governments to manage NSP1; 3) private developers and equity providers to build LIHTC units in 5 communities; 4) Ohio Housing Finance Agency and National City Bank to build homes for first time buyers.

Planning: Developed and implemented a small town planning process (Project Good Start) that has been conducted in more than 50 rural communities; produced Community Housing Improvement Strategies for 10 communities; wrote local and countywide comprehensive plans for 9 communities, 3 downtown plans, and 3 areawide transportation/human service plans.

Consortium member (Region 2): Neighborhood Development Services (NDS)***Overview:***

NDS is a non-profit, community development organization that has been dedicated to revitalizing neighborhoods for nearly 25 years. NDS delivers a full range of programs and services, including acquisition/rehabilitation/resale of properties, developing affordable housing and a construction department that is a state certified: lead abatement contractor, lead risk

assessor, lead clearance technician, and Strategic Sustainability Consulting green auditor. Other services include homebuyer education and financial fitness courses, homeownership lending, economic development lending, and foreclosure prevention services. NDS is also a leader in green standards and implementation. NDS has an administrative budget of \$1.6 million supporting over \$30 million in program and development funds.

NDS is a chartered NeighborWorks Organization; Community Development Financial Institution; HUD-approved Housing Counseling Agency; HUD-approved non-profit for Subordinate Lending; and certified Housing Development Organization (CHDO).

Summary of applicable recent activities:

Demolition: Completed 5 demolitions.

Acquisition/Rehabilitation: Completed 42 full housing rehabilitations and 14 acquisition/rehabilitation/resales; operating ongoing Community Housing Improvement Programs with four communities for the rehabilitation of 60 owner-occupied units and repair of 25 units ; working with Summit County on a 14-unit acquisition/rehabilitation/resale program; submitted a 25-unit LIHTC application for the NSP Rental Housing Initiative and has nine foreclosed properties under control; implementing the City of Barberton's CDBG and NSP activities and has the first foreclosed unit under control; working with the Ohio Housing Finance Agency on a turn-key rehabilitation of a 24-unit foreclosed rental property in Barberton.

Program marketing and waiting lists: Maintains a full-time staff position solely for marketing and public relations and has been managing waiting lists for many years.

Accessing operating and investment capital: Has access to multiple sources of capital including NeighborWorks America Expendable and Capital funding; has a \$750,000 line of credit with Home Savings of Kent for the acquisition and rehabilitation of vacant single-family homes.

Working productively with other organizations: Working successfully with many local communities in Northeast Ohio on activities applicable to the NSP program; current partners include – Portage County, Summit County, City of Ravenna, City of Barberton, City of Newton Falls, City of Aurora, City of Akron, and Wick Neighbors.

Consortium member (Region 3): Ohio Regional Development Corporation (ORDC)

Overview:

The Ohio Regional Development Corporation (ORDC) is a non-profit agency that provides a range of services related to housing and economic development, including planning, consulting, outreach, and development. ORDC has developed expertise in several areas including CDBG Formula Programs; CHIP Programs; Fair Housing Programs and Planning and Study Programs. ORDC has also developed expertise in the areas of inspections and assessments. This includes health and safety determinations with respect to housing. ORDC has extensive knowledge and experience with lead based paint, water pollution, dust control, and soil contamination.

Summary of applicable recent activities:

Acquisition/Rehabilitation: Completed 77 home ownership units.

Financing: Provided 25 down payment assistance to enable moderate-income families to become homeowners.

Redevelopment: Redeveloped 7 housing units.

Program marketing: Completed marketing activities for several CHIP priority areas, including: distribution of informational door-hangers; facilitating community meetings; meeting with governmental officials; and participating in PR related activities.

Working productively with other organizations: Worked closely with local Habitat for Humanity affiliates to provide 7 homes for low to moderate income individuals and families.

Planning: Involved in developing the following plans: CHIS, Community Corrections Facilities, Target Area Neighborhood Analysis, Comprehensive Plans, Community Facility Plans, Housing Market Analysis, Income Surveys and Analysis of Impediments to Fair Housing.

Consortium member (Region 4): Mid-Ohio Regional Planning Commission (MORPC)

Overview:

MORPC is an association of local governments in mid-Ohio and a nonprofit regional planning agency, working to address issues facing central Ohio, including transportation, environmental concerns and weatherization, and community development and housing. It has an agency budget of \$10 million in 2009. MORPC has implemented CDBG and HOME-funded housing rehabilitation programs since 1977 for Franklin County and has managed rehabilitation programs in central Ohio since 1990. These include CHIP programs in Ross County, Cities of Marysville and Chillicothe and rehabilitation programs in the City of Columbus Empowerment Zone. MORPC is operating NSP1 programs in Franklin County and the city of Marysville and is the lead consultant for Ross County's NSP 1 program. MORPC has operated homeownership education and counseling programs for first-time homebuyers since 1994 as a HUD-approved housing counseling agency. Staff also operates a Downtown Revitalization Program for the city of Marysville and a Housing Advisory Board for the Franklin County Commissioners.

Summary of applicable recent activities:

Acquisition/Rehabilitation: Completed 46 full housing rehabilitations. Six homes were purchased with down payment and rehabilitation assistance.

Housing finance: Work with Columbus, Franklin County and Housing Advisory Board to ensure that low-to moderate-income rental new construction or acquisition/rehabilitation projects seeking bond funding address community issues, energy efficiency and green design issues, and financial factors that contribute to the long-term stability of the proposed project.

Program marketing and waiting lists: Maintain a waiting-list for rehabilitation and counseling programs, with a case management database for each program. Program marketing is conducted through MORPC's website, HUD's website for counseling programs, distribution of flyers at meetings and public events, and bag drops at homes in targeted locations.

Accessing operating and investment capital: Operate a Housing Advisory Board that reviews applications for tax-exempt housing revenue bonds for the development of multifamily housing. Staff reviews pro-forma statements and looks for verification that adequate operating and investment capital is available to develop a successful project.

Working productively with other organizations: MORPC has a proven track record in collaborating with local government and non-profits to maximize funding and services for projects, including: other nonprofits (Habitat for Humanity, Columbus Urban League, Consumer Credit Counseling Service, Homes on the Hill) to provide a variety of services, funding and development activities; Franklin County and Columbus (rehabilitation programs, NSP project development) and the state of Ohio (administer CHIP housing programs and the Ohio Housing Trust Fund, counseling and foreclosure prevention activities).

Planning: Designated Metropolitan Planning Organization (MPO) for Central Ohio; prepared Community Housing Improvement Strategies for Ross County and city of Marysville.

Consortium member (Region 5): Community Action Partnership of the Greater Dayton Area

Overview:

Community Action Partnership of the Greater Dayton Area (CAP Dayton) is a nonprofit Community Action Agency committed to eliminating poverty and promoting self-sufficiency by providing programs and services for individuals and families in Butler, Darke, Greene, Montgomery, Preble and Warren Counties. CAP Dayton has a staff of over 250 employees and administers federal and state grant programs totaling \$39 million, including: Emergency Shelter Grant Program and Homeless Prevention, Community Service Block Grant, Home Weatherization Program, transportation systems, Older American Act Programs, Home Energy Assistance Program, and Homeowner Foreclosure Assistance Program.

CAP Dayton staff has extensive housing program experience, including: administering the Community Housing Improvement Program, partnering with L.W. Associates to build two 60-unit tax credit properties, operating the Darke County and Preble County Metropolitan Housing Authorities, and development of 166 units of LIHTC rental housing in Darke and Preble Counties.

Summary of applicable recent activities:

Acquisition/Rehabilitation: For the Darke County CHIP, qualified the residents, had a consultant inspect the properties, wrote specifications, managed the construction process and authorized payments.

Redevelopment: Completed 60 units of family housing and 60 units of senior housing in Greenville and 32 units of family housing and 14 units of senior housing in Preble County.

Program marketing and waiting lists: Manage waiting lists for the Darke County and Preble County Housing Authorities, including eligibility determination, application process, working with landlords, HQS inspections, and landlord negotiations; market weatherization program over a 6 county area; agency staff includes 2.5 Public Relations Specialists who help to market all agency programs.

Accessing operating and investment capital: Over the past several years used state resources to leverage over \$20 million for low-moderate income housing.

Working productively with other organizations: Active member of the Darke County Housing Coalition; working with the Darke County Commissioners on the county's CHIS and Darke County Continuum of Care.

Consortium member (Region 6): Community Action Commission of Fayette County***Overview:***

The Community Action Commission of Fayette County (CACFC) has provided comprehensive social and community development services in Fayette County since 1966. CACFC operates the largest Self-Help Housing program in Ohio, having assisted over 200 low-income families become homeowners through sweat equity and affordable financing through the USDA Rural Development's 502 loan program. CACFC is a state-certified CHDO. In addition to construction of new owner-occupied homes, CACFC has sponsored several tax credit projects, provides supportive housing services for the homeless, and is currently developing a HUD 502 project for low-income senior citizens.

Summary of applicable recent activities:

Acquisition/disposition of foreclosed real estate: Purchased 3 foreclosed properties directly from lender or sheriff's sale; homes were moderately rehabilitated as needed and then resold to LMI families who obtained USDA 502 direct mortgages.

Redevelopment: Develop an average of 5 contractor new built homeownership single family houses a year and sell them to USDA 502 direct mortgage borrowers; operates a USDA self-help program and assist an average of 14 single family homeowners in the construction of their new homes per year; constructed a total of 38 homes with these programs.

Program marketing and waiting lists: Does extensive marketing to reach eligible LMI homebuyers for the USDA self-help program, including TV, radio and newspaper ads, flyers, and brochures; one full-time staff dedicated to marketing, recruiting and loan packaging

Accessing operating and investment capital: Annual \$306,00 operating grant from USDA self-help 523 program; \$45,000 in CHDO funding for housing development; \$200,000 low interest revolving LANDLOC loan from the Finance Fund to purchase and rehabilitate vacant and abandoned properties for resale; \$260,000 bank line of credit for construction.

Working productively with other organizations: Work with the City of Washington, Fayette County, and Ross County in new home development and to help homeowners access CHIP down payment funds for new home purchase.

Planning: Participate in the city and county's Housing Advisory Committees for CHIP; chair the county's Continuum of Care committee for homelessness and housing.

Consortium member (Region 7): Gallia-Meigs Community Action Agency***Overview:***

The Gallia-Meigs Community Action Agency (GMCAA) is a private, non-profit organization that was established in 1965. The mission is to serve not just individuals, but the whole family, as they confront issues of unemployment, limited resources and lack of educational opportunities. GMCAA has maintained the status of Community Housing Development Organization (CHDO) from the Ohio Department of Development's (ODOD) Office of Housing and Community Partnerships since 1996. Programs offered include: the Home Energy Assistance Program (HEAP), Community Housing Improvement Program (CHIP), Single Family Home Ownership Housing Development Assistance Program (HDAP), Home Weatherization Program, Community Housing Improvement Program (CHIP), Home Owner Education classes,

Emergency Food Voucher Program, Senior Aide Employment Program (Title V), Medical Transportation, Meigs County Help Me Grow, and the Ohio Benefit Bank.

Summary of applicable recent activities:

Acquisition/Rehabilitation: Completed full housing rehabilitation on 8 units using CHIP funds.

Redevelopment: Redeveloped 5 housing units; obtained vacant properties and constructed new homes for sale to low- to moderate-income families; HDAP funds are used with financing obtained by the consumer through local lenders or USDA Rural Development.

Program marketing and waiting lists: Marketing activities include brochures in strategic areas of the counties served and newspaper articles about programs at the time of funding; continually receive calls from the community regarding housing assistance; if funding is unavailable at the time of a request, they are placed on a waiting list, so when new funding is received, the consumers can be notified.

Accessing operating and investment capital: HDAP grant for \$200,000 and CHIP for \$500,000; open line of credit in the amount of \$100,000 at Farmers Bank for construction costs.

Working productively with other organizations: Collaborate with USDA Rural Development to maximize available housing funds; work with Area Agency on Aging for the customers' housing needs; Department of Job and Family Services and Woodland Centers, realtors, and banks refer clients and customers in need of housing assistance.

Other NSP2 Committed Partners

The following statewide organizations, while not consortium members, have agreed to partner with the consortium to support the ODOT NSP2 program.

- **Ohio Housing Finance Agency (OHFA):** OHFA, an independent state agency, makes affordable housing opportunities available to low- to moderate-income Ohioans, including first-time homebuyers, renters, senior citizens, and other populations with special needs. OHFA operates programs that: provide low-cost mortgages to homeowners and homebuyers; offer financial incentives for developers to increase the supply of affordable rental housing; and help property managers maintain safe, decent, affordable housing environments. Since its inception, OHFA has issued more than \$10 billion in single-family mortgage revenue bonds and \$614 million in multifamily mortgage revenue bonds, resulting in \$6.5 billion in mortgage loans to more than 100,000 Ohioans and the creation of more than 87,400 affordable rental housing units.
- **Ohio Home Builders Association (OHBA):** OHBA is a 6,500 member trade association representing home builders and their associate vendors in a legislative and regulatory capacity on a statewide basis. OHBA serves its membership by promoting proactive involvement on state issues and legislation impacting the residential building industry. OHBA affiliates produce an annual average of about 20,000 single-family units in Ohio.
- **Habitat for Humanity of Ohio (Ohio Habitat):** Ohio Habitat is a nonprofit, charitable, faith-based housing organization whose purpose is to assist Ohio Habitat affiliates in increasing production of affordable housing. Ohio Habitat affiliates build simple, decent and affordable houses and provide interest-free mortgages to families who would otherwise not be able to purchase their own home. In Fiscal Year 2008, Ohio Habitat affiliates built, rehabilitated and recycled 186 single-family Habitat homes valued at more than \$16,000,000.

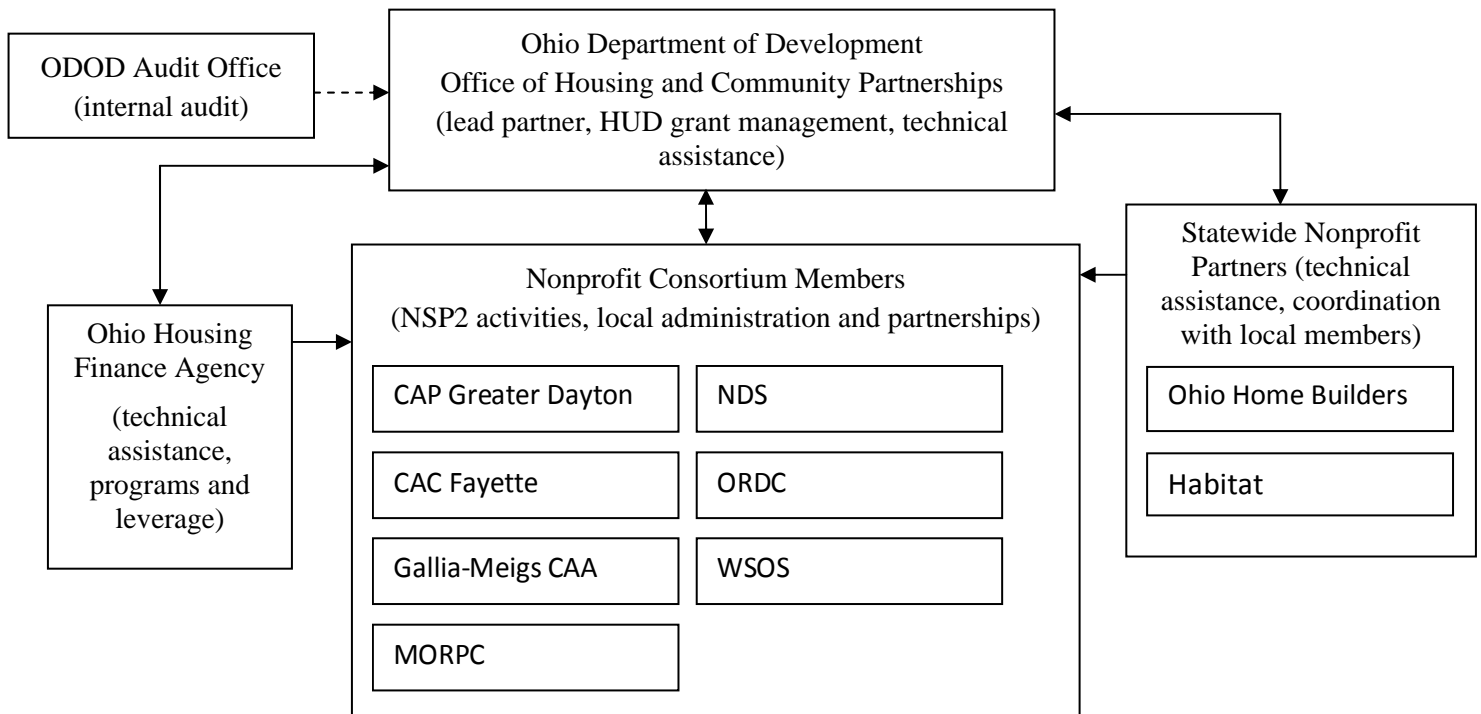
To date, Ohio Habitat affiliates have provided nearly 3,000 Habitat homes in the state. Habitat affiliates typically serve households with incomes at or below 60% of area median.

b. Management structure

(1) Consortium management structure

The Ohio Department of Development, Office of Housing and Community Partnerships, is the lead applicant and partner for this consortium and will be responsible managing the HUD NSP2 grant. To assure an effective program design targeted to local needs and expedite the expenditure of NSP2 funds, OHCP has identified seven experienced non-profit housing organizations as consortium members to implement NSP2 activities throughout the state. OHCP looked for non-profits with experience and expertise in the administration of large housing grants and specific NSP2 activities. In addition, OHCP analyzed the geographic distribution of the 33 target counties, looking for ways to group the counties together into regions. Using these criteria, OHCP identified seven regions, and a non-profit agency from each region, to join the state consortium. These agencies will work with local stakeholders, including governments and community development organizations, to carry out the proposed activities.

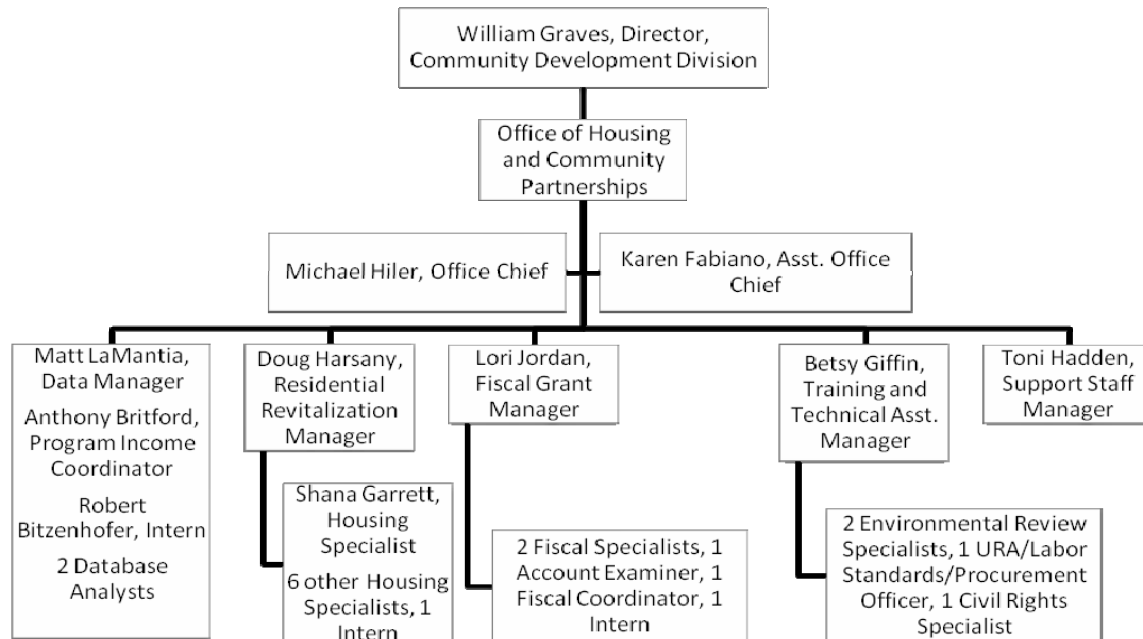
Committed Partners: Two statewide nonprofit housing organizations, the Ohio Home Builders Association and Habitat for Humanity of Ohio, will lend their support to the NSP2 consortium. They bring technical expertise and large scale, statewide development capacity. These organizations will coordinate with their local membership to work with and support the regional consortium members. The Ohio Housing Finance Agency, a state agency, will bring financial expertise, housing programs, and leveraged resources to the consortium.



- (1) Management structure for individual consortium members
 (2) References

Ohio Department of Development (ODOD), Office of Housing and Community Partnerships (OHCP)

ODOD organization chart



ODOD key staff roles and responsibilities for NSP2 proposed activities

- **Oversight and Management** (3 staff): will provide general oversight of the NSP2 grant. **William Graves, Deputy Director, Community Development Division**, will review and approve of NSP 2 funding recommendations and coordinate with Governor's Office. **Michael Hiler, Office Chief, OHCP**, will provide oversight of all OHCP staff involved with NSP2 and manage input of data into DRGR
- **Data and Research Management** (5 staff): will be responsible for data management and program income monitoring
- **Residential Revitalization** (9 staff): will be responsible for consortium member coordination, provide oversight and technical assistance, and monitor consortium members. **Doug Harsany, Residential Revitalization Manager**, will develop and manage the overall grant, supervise housing staff, and ensure monitoring compliance. **Shana Garrett, Housing Specialist**, will lead housing team in ensuring regulatory compliance, and assist consortium members with project administration and monitoring
- **Fiscal Grant Management** (6 staff): will be responsible for grant agreements, financial monitoring, DRGR data input
- **Compliance Management** (5 staff): will be responsible for Environmental Review, URA, Labor Standards, Procurement, and Civil Rights Compliance

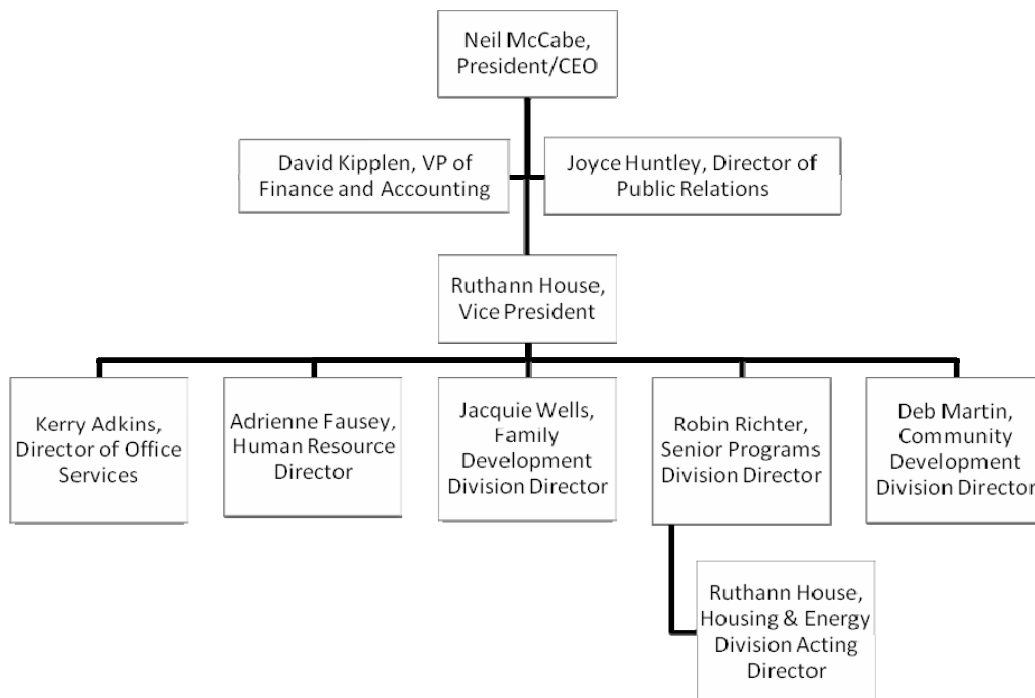
- **Support Staff** (1 staff): will provide support with project correspondence

ODOD References

1. Diane Taylor, Executive Director | Council of State Community Development Agencies | 1825 K Street, N.W., Suite 515, Washington, D.C. 20006 | (202) 293-5820 | dtaylor@coscda.org
2. Hal Keller, President | Ohio Capital Corporation for Housing | 88 East Broad Street, Suite 1800, Columbus, Ohio 43215 | (614) 224-8446 | hkeller@occh.org

WSOS Community Action Commission

WSOS organization chart

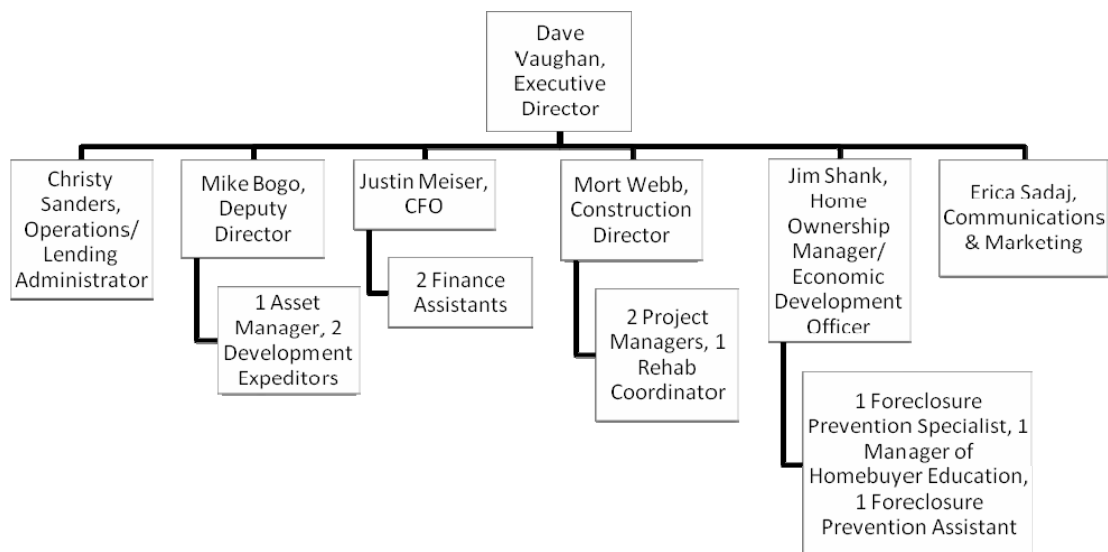


WSOS key staff roles and responsibilities for NSP2 proposed activities

Don Corley, Housing Development Coordinator, will coordinate planning and implementation with various community representatives, including technical assistance to project and local government staff. **Hope Kingsborough, Housing Services Coordinator**, will be responsible for overall program management, staff supervision, contract oversight, marketing, and reporting. **Robert Grimm, Rehab Specialist**, will manage activities related to acquisition, specifications, and redevelopment. **Ryan Gable, Rehab Specialist** will assist with activities related to acquisition, specifications, and redevelopment. **Jamie Munoz, Fiscal/MIS Coordinator**, will direct fiscal management tasks. **Marcia Walters, Housing Services Specialist**, will assist with client qualifications process, data management, marketing, and reporting.

WSOS references

1. Linda Hartlaub, President of City Council | City of Port Clinton | 1868 East Perry Street, Port Clinton, OH 43452 | (419) 734-5522 | lhartlaub@tdhenterprises.com
2. John Davoli, Mayor | City of Fostoria | 213 South Main Street, Fostoria, OH 44830 | (419) 435-8282 | mayordavoli@aol.com

Neighborhood Development Services (NDS)***NDS organization chart******NDS key staff roles and responsibilities for NSP2 proposed activities***

Dave Vaughan, Executive Director, will be responsible for management and operations of housing, limited partnerships, fiscal management and reporting systems, grant writing, and community development. **Mike Bogo, Deputy Director**, will be responsible for housing loans, grant writing, project packaging and management, setup and maintain computer hardware and software systems. **Justin Meiser, CFO**, will be responsible for oversight of all fiscal

administration, record keeping, and procurement of certain debt financing. **Jim Shank, Homeownership Manager/Economic Development Officer**, will be responsible for facilitating funding for low to moderate-income homebuyers. He oversees a staff of 3 with areas of responsibility in borrower education and foreclosure prevention.

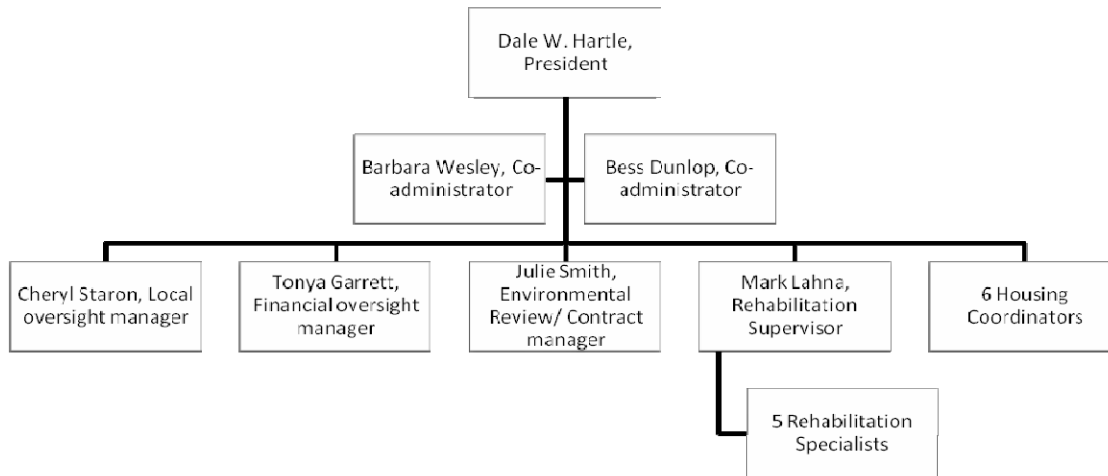
Mort Webb, Director of Construction, will supervise rehabilitation and new construction, including plan reviews, change order approvals, work write-ups and capital needs assessments. He will also work with government agencies on property acquisition. **John Capitoni, Project Manager**, will inspect homes for rehabilitation, write specifications, create bid packages, receive and review bids, create contracts, review change orders, authorize payments, create closeout packages, and monitor payroll for prevailing wage. **George Rusnak, Project Manager**, will inspect homes for rehabilitation, write specifications, create bid packages, receive and review bids, create contracts, review change orders, authorize payments, create closeout packages, and monitor payroll for prevailing wage. **Cheryl Wood, Rehab Coordinator/Housing Specialist**, will be responsible for all construction and rehabilitation intake processing, and determine eligibility of applicants and place them in appropriate programs to meet their needs. She will prepare documents related to scheduling, financial and grant documents, title and closing rehabilitation documents. She will ensure that all candidates receive appropriate counseling. **Jen King, Development Expeditor**, will write any necessary grant applications and maintain grant files. She will coordinate citizen participation with local communities.

NDS References

1. Chuck Keiper, Portage County Commissioner | Portage County | 449 S. Meridian St. Ravenna, OH 44266 | (330) 297-3606 | ckeiper@portageco.com
2. Holly Miller, Community Development Coordinator | County of Summit | 170 S. Main St. Akron, OH 44430 | (330) 643-8013 | hmillers@summitoh.net

Ohio Regional Development Corporation (ORDC)

ORDC organization chart



ORDC key staff roles and responsibilities for NSP2 activities

Dale W. Hartle, President, will direct the NSP2 activities of all programs and be responsible for overall administration in complying with all OHCP guidelines. **Barbara Wesley** and **Bess Dunlop**, will be **co-administrators** of NSP2. They will receive all program inquiries and oversee the implementation of each program to its completion, including supervision of grant activities and monitoring detailed monthly reports. **Cheryl Staron, local oversight manager** and **Fair Housing Specialist**, will assist the co-administrators, help organize all information needed for grant applications, and be responsible for compliance with Civil Rights and Fair Housing/Affirmative Marketing/Accessibility components in all programs. **Tonya Garrett, financial oversight manager**, will oversee implementation of all programs administered through ORDC. She will be responsible for requesting funds and distributing those as requested.

Julie Smith, Environmental Review/Contract Manager, will ensure that all contract information is accurate and complete. She will also conduct environmental reviews. **Mark Lahna, Rehabilitation Supervisor**, will manage the rehab specialists, with responsibilities that include training, ensuring contractor compliance with state guidelines and regulations, performing all final inspections on each project, performing lead clearance testing, and approving contractor final payments. **Rehabilitation specialists** will perform initial and interim inspections, prepare bid specifications, and ensure contractor compliance with state guidelines and regulations, conduct contractor tours, order all necessary inspections, prepare necessary bid amendments, and approve preliminary contractor payments and necessary change orders. **Housing coordinators** will be responsible for daily operation of the program; assess income eligibility; maintain list of qualified contractors; maintain all files (including both contractors and clients); conduct pre-construction conferences/contract signing; schedule write-ups and inspections for Rehab Specialists; and serve as liaison between all contractors and clients.

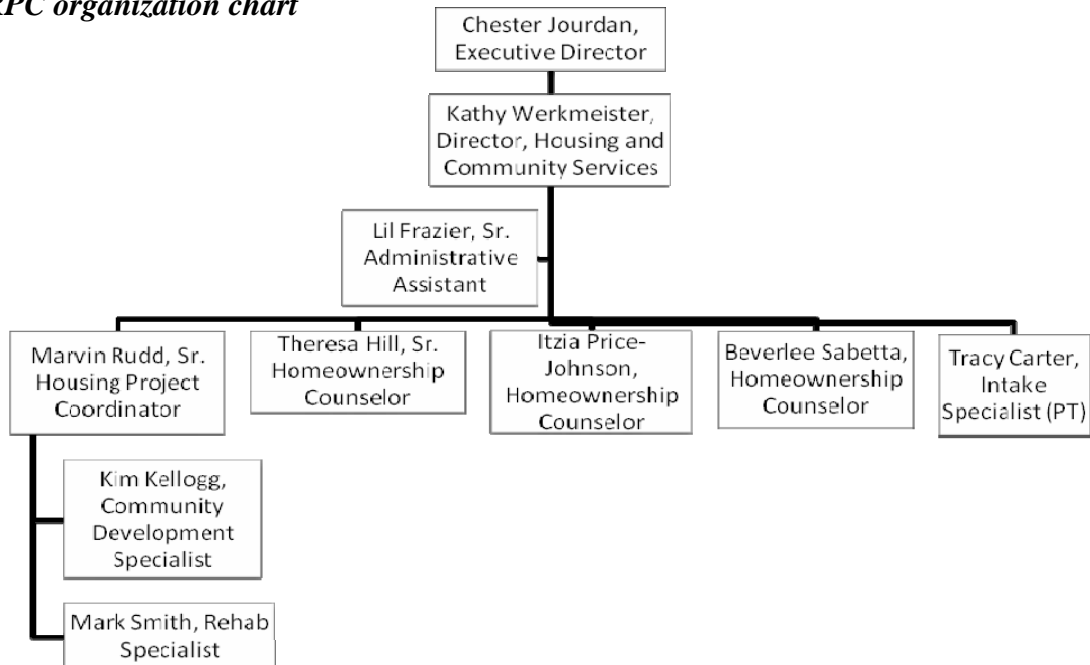
ORDC References

1. Mr. Steven D. Mercer, Mayor | City of Coshocton | 760 Chestnut Street, Coshocton, Ohio 43812 | (740) 622-1373 | mayorsoffice@cityofcoshocton.com

2. Mr. Gary Miller, President, Board of County Comm. | Crawford County | 112 East Mansfield, Suite 304, Bucyrus, Ohio 44820 | (419) 562-5878 | commissioners@crawford-co.org

Mid-Ohio Regional Planning Commission (MORPC)

MORPC organization chart

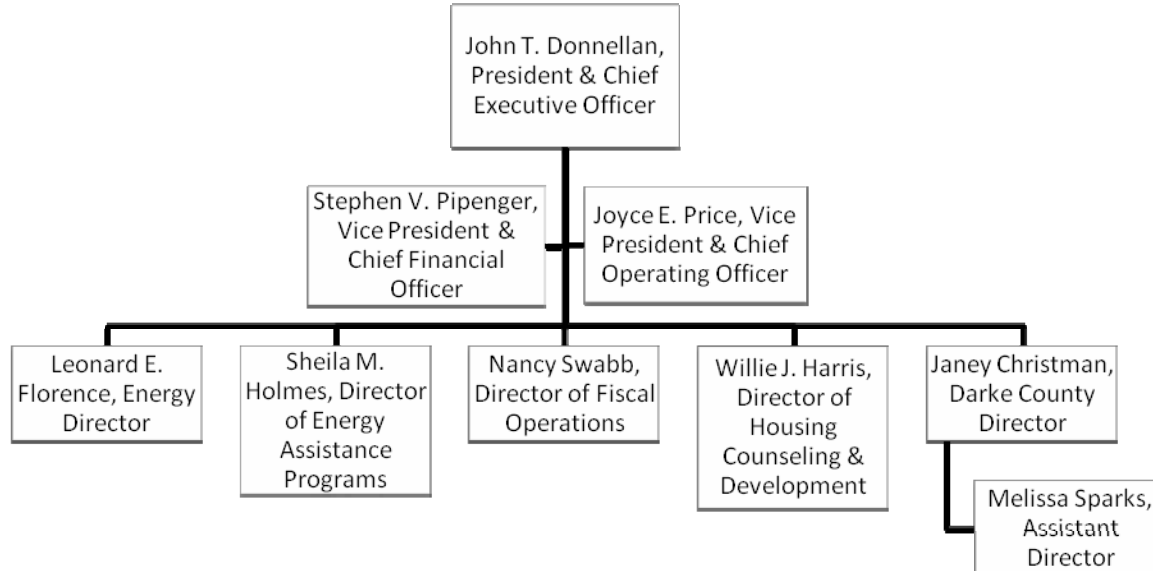


MORPC key staff roles and responsibilities for NSP2 activities

Kathy Werkmeister, Director of Housing and Community Services, will be responsible for program administration, developing agreements, oversight and coordination with the state and local governments and financial accountability, and environmental reviews. **Marvin Rudd, Senior Housing Project Coordinator**, will be responsible for oversight of the project activities, ODOT payment requests and status reports, and financial accountability, and determination of project eligibility and monitoring requirements. **Kim Kellogg, Community Development Specialist**, will be responsible for day-to-day coordination with the local governments, compliance with reporting requirements and financial accountability and monitoring requirements.

MORPC references

1. Rollin Seward, Assistant Director | Franklin County Economic Development and Planning Department | 150 South Front, FSL 10, Columbus, Ohio 43215-7104 | (614) 462-5562 | reseward@franklincountyohio.gov
2. James Caldwell, President | Ross County Board of Commissioners | 2 N. Paint Street, Suite H Chillicothe, Ohio 45601-3116 | (740) 702-3008 | rosscom@bright.net

Community Action Partnership of the Greater Dayton Area***CAP Greater Dayton organization chart******CAP Greater Dayton key staff roles and responsibilities for NSP2 activities***

John T. Donnellan, President & CEO, will be responsible for all aspects of the NSP2 program. **Joyce E. Price, COO**, will supervise administrative support staff. **Stephen V. Pipenger, Vice President & CFO**, will coordinate finances related to NSP2 activities, with support from **Nancy Swabb, Director of Fiscal Operations**, **Sue Cooper, Bookkeeper**, and **Tina Petty, Accounting Clerk**. **Janey Christman, Darke County Director**, will be responsible for all major component

reviews, technical assistance, and budget monitoring and reporting. **Melissa Sparks, Assistant Director**, will assist with program development, acquisition activities, and reviewing progress of program initiatives.

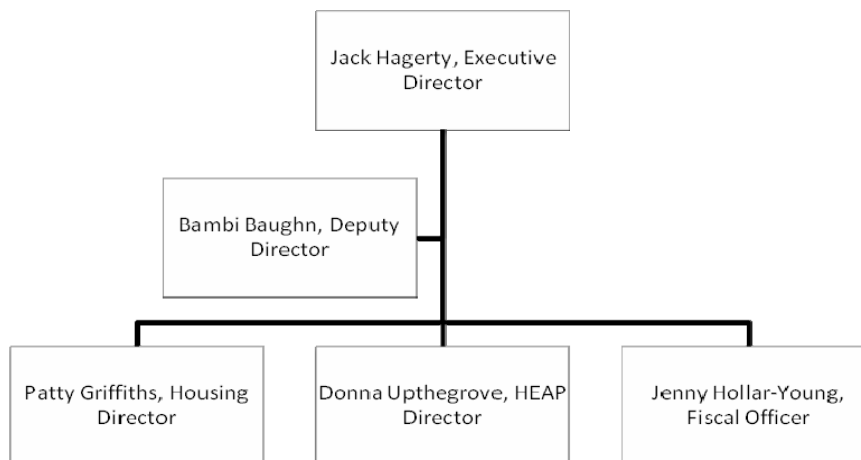
Phil Snider, Snider LLC, will be a consultant to the NSP2 program for compliance issues. **David Bollinger** will be a consultant for inspection of housing, upfront lead, and wipe clearance testing as needed.

CAP Greater Dayton references

1. Mark A. Leatherwood, President | L.W. Associates, Inc. | 184 W. Main St., Ashville, Ohio 43103 | (740) 983-4566 | mleatherwood@lwassociates.net
2. Richard Brooks, Grant Coordinator | Darke County Board of Commissioners | 520 S. Broadway, Greenville, Ohio 45331 | (937) 547-7368 | rbrooks@co.darke.oh

Community Action Commission of Fayette County

CAC Fayette organization chart



CAC Fayette key staff roles and responsibilities for NSP2 activities

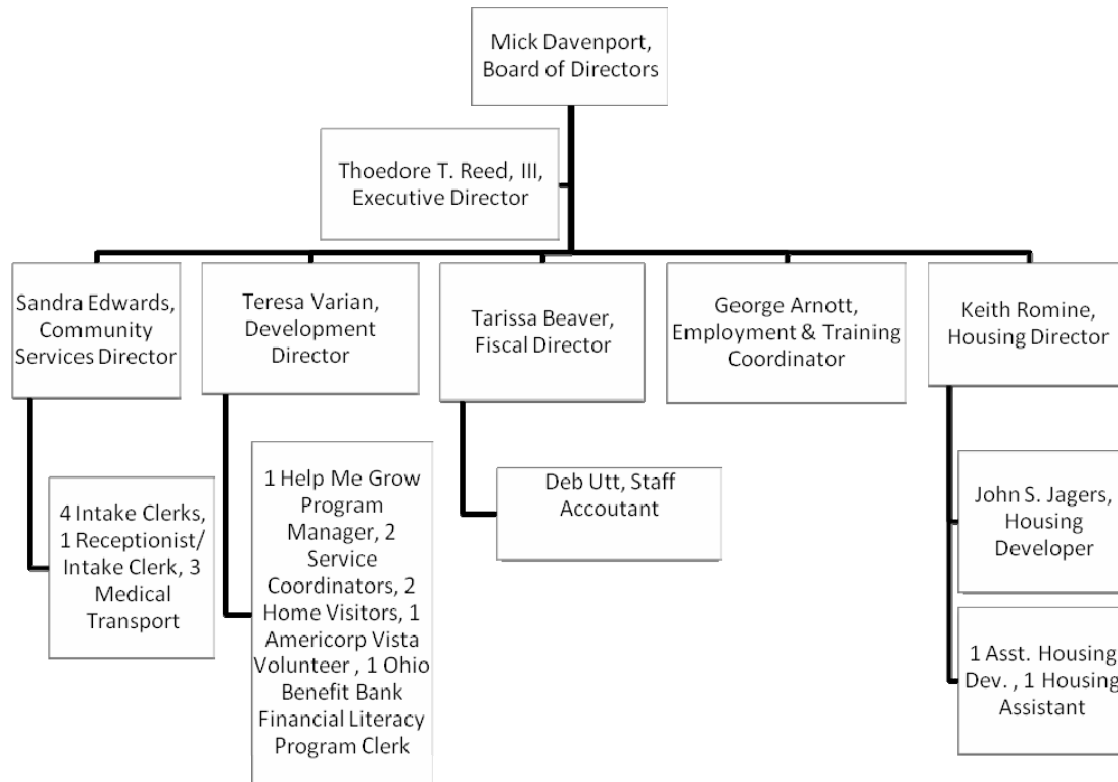
Jack Hagerty, Executive Director and **Bambi Baughn, Deputy Director** will be responsible for grant implantation and compliance activities. **Patty Griffiths, Housing Director** and **Donna Upthegrove, HEAP Director** will be responsible for carrying out all work plans for NSP2, including identification of suitable properties, arranging for title work, acquisition and rehabilitation, or construction of new housing on vacant sites. **Jenny Hollar-Young, Fiscal Officer**, will manage fiscal matters related to NSP2 activities.

CAC Fayette references

1. Gerald Arnott, Housing Program Director | USDA, Rural Development | 200 N. High Street, Room 507, Columbus, OH 43215 | (614)255-2401 | Gerald.Arnott@usda.gov
2. Jeff Woda, Owner | Woda Construction | 229 Huber Village Boulevard, Westerville, OH 43081 | (614)396-3200 | jwoda@wodagroup.com

Gallia-Meigs Community Action Agency

Gallia Meigs CAA organization chart



Gallia-Meigs CAA key staff roles and responsibilities for NSP2 activities

Tom Reed, Executive Director, will be responsible for the overall planning, administration, and direction of NSP2 activities including fiscal and program management. **Teresa Varian, Development Director**, will seek additional funding opportunities and prepare grant applications. **Tarissa Beaver, Fiscal Director**, will be responsible for monitoring fiscal activities related to NSP2 and generating financial reports internally and for the lead partner. She will be assisted by **Deb Utt, Staff Accountant**. **Keith Romine, Housing Director**, will build and oversee development teams, create feasibility studies and bid documents, and work with architects and contractors through the development process. **John S. Jagers, Housing Developer**, will work with banks and government offices in preparing pro formas, grant applications and other items necessary to housing development.

CAP Gallia Meigs References

1. Karen Sprague, Gallia County Administrator | Gallia County Commissioners | 18 Locust Street, Rm 1292, Gallipolis, OH 45631 | (740) 446-4612 ext. 232 | ksprague@gallianet.net
2. Karen Banyai, HDAP Project Administration | Ohio Housing Finance Agency | 57 East Main Street, Columbus, OH 43215 | (614) 752-4185 | kbanyai@ohiohome.org

Factor 3: Soundness of approach

a. Proposed activities

(1) Overall program

The Ohio Department of Development is requesting \$50 million in NSP2 funds to undertake a comprehensive NSP2 initiative that addresses vacant and abandoned properties and stimulates revitalization in small cities and rural areas across the state. Working in collaboration with a network of strong, experienced local non-profit consortium members and other committed project partners as described under Factor 2, the state will use NSP2 resources in the diverse, local markets in the 176 census tracts in 33 counties that make up the target geography. It is anticipated that NSP2 activities will benefit all target census tracts.

ODOD will use NSP2 funds for the following activities and estimated outcomes (Table 7): 1) create financing mechanisms for the purchase and/or redevelopment of approximately 100 foreclosed homes; 2) purchase and rehabilitate approximately 210 units for sale or rent; 3) demolish approximately 360 blighted structures; and 4) develop approximately 190 housing units through redevelopment of vacant properties.

The market analysis and resulting market typology framework described under Factor 1 were used to develop the strategy for use of NSP2 funds across activities described below. NSP2 activities in each region will reflect: 1) the specific market types of the target tracts within that region, 2) availability of appropriate project sites; 3) availability of other funding resources; and 4) opportunities to coordinate NSP2 activities with other activities for maximum stabilization and long-term economic benefits. ODOD will work with the local partners to adjust regional activities to assure that the planned mix of activities and outcomes is accomplished across the seven regions. In order that funds can be spent within NSP2 timeframes, ODOD and the consortium members have identified some projects that can get underway quickly—within four months after HUD grant approval—and show measurable results within the first year.

Coordinated components and expansion of existing activities: The mix of NSP2 funds outlined in the table in Section (2)(a) will coordinate with and expand the state's long-standing housing and community development, housing finance, and homeownership programs serving the NSP2 target geography, as well as recent programs initiated to address the foreclosure crisis. This will happen in two ways: ODOD and the Ohio Housing Finance Agency (OHFA) will target state funding and programs to areas where NSP2 dollars are used, and the Ohio NSP2 partners will coordinate their existing resources and activities in the target census tracts.

The following are State of Ohio coordinated components and existing activities that will help to increase the impact of NSP2 activities:

- **Community Housing Improvement Program (CHIP):** The CDBG- and Home Investment Partnerships-funded competitive CHIP funds housing activities that are based on a Community Housing Improvement Strategy (CHIS) developed by the local government in collaboration with community stakeholders. ODOD gives priority to projects that target or leverage other funds for a specific target area. Grantees who undertake homeownership activities are required to include a homebuyer education component in their program.
- **CDBG Formula Program:** The CDBG Formula Program can be used for infrastructure, demolition, and home repair projects that are consistent with a local Community Assessment

and Strategy (CAS). All of the 33 NSP2 target counties receive CDBG Formula Program Funds.

- **CDBG Neighborhood Revitalization Grants:** CDBG-funded competitive Neighborhood Revitalization Grants can be used by local communities to address public facility improvements such as construction, reconstruction, and rehabilitation of infrastructure in targeted areas of distress.
- **NSP1 Funds:** The State of Ohio has awarded grants of \$116 million in NSP1 funds to local communities to assist in the stabilization of areas of greatest need because of foreclosure. All activities are currently in progress. NSP1 funds are being used throughout the NSP2 target area, and ODOD and local consortium members will identify opportunities to coordinate the two funding streams to maximize their impact on local communities.
- **Ohio Housing Trust Fund Foreclosure Prevention Programs:** The Ohio Home Rescue Fund made grants to local organizations that provide foreclosure prevention counseling and loan workouts for families in jeopardy of losing their homes. Trust Funds also support nonprofit agencies that provide foreclosure counseling statewide. These programs are part of the larger, multi-agency Save the Dream initiative, a statewide homeownership preservation program to help Ohioans retain their homes through a public awareness campaign, borrower outreach events, and a website, a hotline, and 32 nonprofit agencies providing foreclosure prevention counseling. Three NSP2 consortium members—NDS, WSOS, and MORPC—operate these foreclosure prevention programs, and programs are available to homeowners throughout the entire NSP2 target area.
- **Housing Development Assistance Program:** The HDAP uses HOME funds and state Housing Trust Funds to provide gap financing for affordable housing developments to expand, preserve, and/or improve the supply of decent, safe, affordable housing for very low-to moderate-income persons and households in Ohio.
- **Low-Income Housing Tax Credit:** OHFA provides extra rating points in the competitive Tax Credit allocation process for combining Tax Credit projects with NSP activities. In addition, OHFA provides additional gap financing (see above) for NSP tax credit projects. ODOD is making 25% of NSP1 funds available for use with LIHTC projects that address foreclosed and abandoned properties, and it is anticipated that there will be NSP2 projects that make use of the Tax Credit.
- **OHFA Homeowner Programs:** OHFA's homeownership programs will be coordinated with NSP2 activities to increase the pool of income-eligible homebuyers. Programs include the First-Time Homebuyer Program, Target Area Loan Program for HUD-designated distressed areas, Down Payment Assistance Grant, Homebuyer Tax Credit Advantage Program, and Mortgage Credit Certificate Program.

Local coordination and expansion activities. Much of the coordination of resources and activities with NSP2 funding will take place at the local level. The nonprofit consortium members will make use of the state and federal resources identified above as part of an overall funding package for NSP2 activities. In addition, consortium members have identified the following additional programs and activities that NSP2 will coordinate with and/or expand upon within their region: CHDO; NeighborWorks; public housing authority; Continuum of Care; USDA 502 Direct and Guaranteed Loans; Home Weatherization Assistance Program; Habitat for Humanity housing construction; Community Development Finance Fund; Community Services

Block Grant; homebuyer counseling; local government code enforcement activities; and local government infrastructure development.

Housing market stabilization and economic benefits. The NSP2 program and the coordinated components described above are intended to stabilize the housing markets in the target areas and provide economic benefits for local communities and their residents. However, because the local housing market and economic conditions are quite diverse across the 176 target census tracts, it is difficult to project specifically when, and to what extent, these benefits will occur in each area. Although the entire target geography faces challenges, it is expected that in the areas with stronger housing markets and economic indicators (the “relatively stable” and “at-risk” market types) will experience improvement more quickly. The more severely impacted “destabilizing” and “distressed” markets will require longer-term interventions. In addition, the rate of stabilization of these local markets is tied to the pace of recovery of the Ohio economy overall. Should the state begin to see a sustained upswing in the economy in 2010-2011, this may help to expedite recovery in the target areas.

(2) Uses of funds and firm commitments

(a) Funds budgeted for each eligible use

Table 7 identifies the distribution of funds among the NSP-eligible uses that have been determined to be those most likely to stabilize the target area. All activities will conform with the related CDBG activity requirements. **The estimated outcome figures shown below are preliminary and will be refined as specific projects are identified.**

Table 7: NSP2 use of funds by activity

NSP-Eligible Uses	Amount	Estimated Outcomes	Responsible Entity
A) Establish financing mechanisms for purchase and redevelopment of foreclosed upon homes and residential properties	4,100,000	100 units	<ul style="list-style-type: none"> • ODOD will be responsible for NSP2 grant administration, including subgrants to consortium members • Consortium members (7 local nonprofit housing development organizations) will be responsible for implementation of NSP2 activities and unit production
B) Purchase and rehabilitate homes and residential properties that have been abandoned or foreclosed upon for sale, rent, or redevelopment	19,900,000	210 units	
C) Demolish blighted structures	4,500,000	360 units	
D) Redevelop demolished or vacant properties as housing	16,500,000	190 units	
Administration	5,000,000		
Total	\$50,000,000	860 units	

(b) Activities narrative

The following is a description of the activities that will be funded with NSP2 funds:

- **Financing mechanisms:** This activity includes establishing financing mechanisms for purchase and redevelopment of foreclosed upon homes and residential properties, including such mechanisms as soft seconds, loan loss reserves, and share equity loans for low-, moderate, and middle-income homebuyers. Finance mechanisms, including affordability subsidies, will be provided such that a homebuyer's principal, interest, taxes, and insurance do not exceed 30% of the household's gross monthly income. This activity will consist of down payment assistance coupled with rehabilitation where the property is purchased directly by an income eligible household with assistance by the consortium members, then rehabilitated as necessary to meet program standards. The green building standards attached to this application, as incorporated in the Residential Rehabilitation Standards (RRS), will be incorporated into the rehabilitation work.
- **Purchase and rehabilitate:** This activity includes purchase and rehabilitation of homes and residential properties that have been abandoned or foreclosed upon, in order to sell, rent, or redevelop such homes and properties. This activity will provide homeownership opportunities to households with income at or below 120 percent of the area median income, and rental opportunities to households at or below 50 percent area median income. In certain instances, lease purchase options may also be provided to ensure that eligible households are offered every opportunity to become home owners. This activity will include acquisition and rehabilitation of residential property by the consortium members, abiding by all program standards, and then resale of property to an income eligible household. The green building and deconstruction standards attached to this application will be followed for all rehabilitation efforts.
- **Demolition:** This activity includes demolishing blighted structures. Blighted structures will be determined using the definition provided in this application. All demolition will follow the deconstruction standards attached to this application.
- **Redevelopment:** This activity includes redevelopment of demolished or vacant properties as housing for low-, moderate-, and middle-income households. This activity will include redevelopment of single-family as well as multi-family residential units. This activity will provide homeownership opportunities to households with income at or below 120 percent of the area median income, and rental opportunities to households at or below 50 percent area median income. All redevelopment will follow the green building and deconstruction standards attached to this application.

Range of interest rates and duration or term of assistance: For all finance mechanisms, purchase/rehabilitation for sale or rent, and redevelopment/new construction activities, the financing of the NSP assistance will be loans with a 0% interest rate and no monthly payments required. These loans will be deferred and forgiven and will meet the HOME Program affordability regulations. Also, all monthly housing expenses associated with the principle, interest, taxes, and insurance (PITI) for an NSP-assisted house will not exceed 30 percent of the household's monthly income.

Tenure of beneficiaries: It is expected that, in the aggregate, the activities by the seven consortium members will benefit a mix of income eligible owners and renters. The specific mix will depend upon local market conditions, housing needs, and resource availability. ODO will

encourage the use of a lease-purchase model, through which lower-income renters can accumulate equity that enables them to purchase their unit after a specified time period.

Location or address information: All activities and projects will take place in the 176 target census tracts. Consortium members have identified the following as locations that could be sites for initial NSP2 activities: 1) Cities: Columbiana, East Liverpool, East Palestine, Gallipolis, Salem, Lima, Findlay, Marion, Fostoria, Van Wert, Newark, Lancaster; 2) Villages: Lisbon, Rogers, Washingtonville, Wellsville; 3) Counties: Columbiana, Portage, Wood, Allen, Hancock, Putnam

(c) Commitment of other funds

The Ohio Housing Finance Agency (OHFA), an independent state agency, has committed \$3.5 million of Ohio Housing Trust Fund dollars as leverage for the NSP2 application. Trust Fund dollars are fee-based state resources legally under the administrative control of OHFA.

(d) Demolition and preservation

(i) Mix of demolition and preservation: The market analysis and market typology framework described under Factor 1 were used to determine the mix of demolition and preservation activities. Only in the distressed market area (38 tracts) is demolition expected to be a primary activity. Although demolition may be an appropriate activity in the destabilizing market areas (72 tracts), it will be used together with preservation (financing and purchase/rehab) activities. In the at-risk and relatively stable market areas, demolition will generally be used to remove individual blighted properties for redevelopment (66 tracts). The proposed allocation of NSP2 funds between demolition and preservation activities was based on this analysis, as well as the cost of each of the activities.

(ii) Demolition or conversion of low- and moderate-income dwelling units: ODOOD will not undertake demolition or conversion of low- and moderate-income dwelling units.

b. Project completion schedule

The 36-month schedule NSP2 schedule (Table 8) includes critical milestones for ODOOD and the local consortium members. These are based on information available to date and will be finalized as implementation gets underway.

Table 8: Management milestones

Month	Critical Management Milestones	
	ODOOD	Consortium Members (Local Development Partners)
0	HUD NSP2 grant agreement signed	
1	Funding agreements executed with consortium members	Sign funding agreements
2	<ul style="list-style-type: none"> Conduct initial implementation training workshop for all partners (additional training provided throughout implementation as needed) Environmental Reviews completed 	<ul style="list-style-type: none"> Attend implementation training Submit NSP2 Year 1 project descriptions and metrics to ODOOD for approval

Month	Critical Management Milestones	
	ODOD	Consortium Members (Local Development Partners)
3	<ul style="list-style-type: none"> • Approve Year 1 projects • Begin entering projects into DRGR • Submit HUD quarterly performance report • Establish NSP2 web page 	
4	Begin disbursing NSP2 funds and state leverage funds to partners	Begin implementation of Year 1 NSP2 activities
5		
6	<ul style="list-style-type: none"> • Submit HUD quarterly performance report • Distribute NSP2 quarterly e-newsletter to local governments and stakeholders • Convene quarterly consortium update meeting 	<ul style="list-style-type: none"> • Provide quarterly production and performance information to ODOD • Participate in consortium update meeting
7		
8		
9	<ul style="list-style-type: none"> • Submit HUD quarterly performance report • Distribute NSP2 quarterly e-newsletter to local governments and stakeholders • Convene quarterly consortium update meeting • Review expenditure of NSP funds by each partner • Contact any consortium member that has not spent at least 25% of allocation 	<ul style="list-style-type: none"> • Provide quarterly production and performance information to ODOD • Participate in consortium update meeting • Complete 25% of NSP2 expenditures and activities (aggregate across all consortium members)
10	Complete individual partner technical assistance visits; additional technical assistance visits conducted as needed	
11		<ul style="list-style-type: none"> • Submit NSP2 Year 2-3 project descriptions and metrics to ODOD for approval
12	<ul style="list-style-type: none"> • Approve Year 2-3 projects • Submit HUD quarterly performance report • Distribute NSP2 quarterly e-newsletter to local governments and stakeholders • Convene quarterly consortium update meeting 	<ul style="list-style-type: none"> • Provide quarterly production and performance information to ODOD • Participate in consortium update meeting
13		Begin implementation of Year 2-3 NSP2 activities
14		
15	<ul style="list-style-type: none"> • Submit HUD quarterly performance report • Distribute NSP2 quarterly e-newsletter to local governments and stakeholders • Convene quarterly consortium update meeting 	<ul style="list-style-type: none"> • Provide quarterly production and performance information to ODOD • Participate in consortium update meeting
16		

Month	Critical Management Milestones	
	ODOD	Consortium Members (Local Development Partners)
17	<ul style="list-style-type: none"> Review expenditure of NSP funds by each partner Contact any consortium member that has not spent at least 50% of allocation 	<ul style="list-style-type: none"> Complete 50% of NSP2 expenditures and activities (aggregate across all consortium members)
18	<ul style="list-style-type: none"> Submit HUD quarterly performance report Distribute NSP2 quarterly e-newsletter to local governments and stakeholders Convene quarterly consortium update meeting 	<ul style="list-style-type: none"> Provide quarterly production and performance information to ODOD Participate in consortium update meeting
19		
20		
21	<ul style="list-style-type: none"> Submit HUD quarterly performance report Distribute NSP2 quarterly e-newsletter to local governments and stakeholders Convene quarterly consortium update meeting 	<ul style="list-style-type: none"> Provide quarterly production and performance information to ODOD Participate in consortium update meeting
22		
23		
24	<ul style="list-style-type: none"> Submit HUD quarterly performance report Distribute NSP2 quarterly e-newsletter to local governments and stakeholders Convene quarterly consortium update meeting 	<ul style="list-style-type: none"> Provide quarterly production and performance information to ODOD Participate in consortium update meeting
25		
26	<ul style="list-style-type: none"> Review expenditure of NSP funds by each partner Contact any consortium member that has not spent at least 75% of their allocation Funds redistributed among consortium members as necessary 	<ul style="list-style-type: none"> Complete 75% of NSP2 expenditures and activities (aggregate across all consortium members)
27	<ul style="list-style-type: none"> Submit HUD quarterly performance report Distribute NSP2 quarterly e-newsletter to local governments and stakeholders Convene quarterly consortium update meeting 	<ul style="list-style-type: none"> Provide quarterly production and performance information to ODOD Participate in consortium update meeting
28		
29	<ul style="list-style-type: none"> Review expenditure of NSP funds by each partner Contact any consortium member that has not spent at least 90% of their allocation Funds redistributed among consortium members as necessary 	<ul style="list-style-type: none"> Complete 90% of NSP2 expenditures and activities (aggregate across all consortium members)

Month	Critical Management Milestones	
	ODOD	Consortium Members (Local Development Partners)
30	<ul style="list-style-type: none"> • Submit HUD quarterly performance report • Distribute NSP2 quarterly e-newsletter to local governments and stakeholders • Convene quarterly consortium update meeting 	<ul style="list-style-type: none"> • Provide quarterly production and performance information to ODOD • Participate in consortium update meeting
31		
32	<ul style="list-style-type: none"> • Require that 100% of funds be spent and all work completed by each consortium member • All NSP activities completed 	<ul style="list-style-type: none"> • Complete 100% of NSP2 expenditures and activities
33	<ul style="list-style-type: none"> • Submit HUD quarterly performance report • Distribute NSP2 quarterly e-newsletter to local governments and stakeholders • Convene quarterly consortium update meeting • Deadline for final disbursement requests by consortium members 	<ul style="list-style-type: none"> • Provide quarterly production and performance information to ODOD • Participate in consortium update meeting • Submit final disbursement requests
34	Require that all consortium members submit final performance reports detailing expenditure of funds and all completed projects	
35	Begin the monitoring consortium members to ensure compliance	
36		

Start and end dates: The project completion schedule assumes that a group of initial NSP2 activities (Year 1 activities) will begin no later than month 4. All Year 2 and 3 activities will be identified by month 11 and underway by month 13. All activities will be completed, and funds disbursed, by month 33. Throughout the 36 month period, there will be interim activity starts and completions, with the timing dependent on the particular activity. Some activities (e.g. financing mechanisms, demolition) may be ongoing throughout the entire timeframe, while others (e.g. acquisition/rehab and redevelopment) may have specific end dates.

As part of development of this application, consortium members identified potential NSP2 activities that can be implemented quickly upon approval of funding by HUD. These include: 1) demolition activity in Lima, Newark, Columbiana County, and Brown County; 2) Purchase/rehab for sale or rent in Lima, Findlay, Marion, Fayette County, and Brown County; 3) Redevelopment/new construction in Lima, Findlay, Newark, Fayette County, and Brown County; and 4) financing (downpayment assistance) in Lancaster.

Expected metrics and results: Initial metrics and results for the NSP2 activities are the estimated number of housing units rehabbed and produced, and units demolished, as detailed at the beginning of this section, as well as the spending targets included in the critical management milestones (Table 8). ODOD will work with consortium members to identify specific metrics as part of the process of project approval.

c. Income targeting for 120% and 50% of median

ODOD will assure that all NSP2 activities meet the income targeting requirements. The consortium members, who will be implementing the NSP2 activities, have been involved in the preparation of the ODOD application and clearly understand the income targeting requirements, and these organizations have extensive experience in implementing affordable housing activities with similar income targeting requirements. These requirements will be reiterated as part of training and technical assistance sessions, and ODOD will review all local NSP2-funded activities prior to initiation to for conformance with income targeting requirements.

d. Continued affordability

ODOD will ensure, to the maximum extent practicable and for the longest feasible term, that all NSP2-assisted properties will remain affordable to persons whose income do not exceed: 1) 120% of area median income, and 2) 50% of area median income, as applicable. ODOD will do this by enforcing the minimum continued affordability requirements defined by the HOME Investment Partnerships Program final rule (24 CFR 92.252 and 92.254) for the Ohio NSP-funded residential development projects. Finance mechanisms including affordability subsidies will be provided such that a homebuyer's principal, interest, taxes, and insurance do not exceed 30 percent of the household's gross monthly income. Rental projects shall comply with the "HOME rents" requirements.

Rental projects funded in conjunction with LIHTC funds will have a 30-year affordability period. Rent and income restrictions will be enforced through a restrictive covenant land use agreement. An exception will be provided for projects involving the sale of the units to eligible residents after the 15th year in the compliance period. Existing procedures in place for the LIHTC Program and Housing Development Assistance Program (HDAP) to monitor compliance with the restrictions will be implemented, including annual certification reports from the owners and routine, on-site file and physical inspections by qualified staff.

e. Consultation, outreach, and communications

(1) Consultation with units of local government

Ohio Department of Development: ODOD consulted with the County Commissioners Association of Ohio as part of the process of selecting the NSP2 target census tracts. ODOD sent a letter explaining the State's application for NSP2 funds to each office of municipal and county government intersecting the NSP2 target tracts. ODOD also required each of the local non-profit consortium members to consult with local government representatives within their regions.

Local consortium members: In addition to the ODOD outreach described above, local consortium members communicated with local government elected and/or appointed officials, via e-mail, telephone, and/or in-person meeting, as part of development of the NSP2 proposal. The following is a summary of these activities:

Table 9: Local government communication by consortium members

Consortium member	Local government contacted
WSOS Community Action Commission	Wood County, Allen County, City of Lima, City of Fostoria, Marion County, Hancock County, Putnam County, Seneca County, Van Wert County, City of Van Wert

Consortium member	Local government contacted
Neighborhood Development Services	Portage County, Columbiana County, Medina County, Jefferson County, Harrison County
Ohio Regional Development Corporation	Coshocton County, Morrow County, Morgan County, Belmont County, Muskingum County, Guernsey County, Crawford County
Mid-Ohio Regional Planning Commission	City of Chillicothe, City of Newark, Perry County, Fairfield County, Ross County, Licking County
Community Action Partnership of Greater Dayton Area	Darke County, City of Greenville
Community Action Commission of Fayette County	City of Washington Court House, Fayette County, Brown County
Gallia-Meigs Community Action Agency Inc.	Meigs County, Gallia County, Vinton County, Pike County, Scioto County

Ongoing communication with units of local government: ODOD will submit quarterly progress reports, in the form of an e-newsletter, to counties and cities with areas where with NSP2 funds are being invested. The quarterly reports will also be made available to the County Commissioners Association of Ohio and the Ohio Conference of Community Development. The e-newsletter will provide information and updates on projects and programs undertaken by each consortium member, along with general information about the NSP2 program. ODOD will also maintain a web page for NSP2, and will update it periodically as a means of communication. In addition, ODOD will require consortium members to have similar ongoing communications with the cities and counties in which they are working.

(2) Proposed outreach and affirmative marketing actions

ODOD, as lead applicant in the NSP2 consortium, will require each of the seven non-profit consortium members to submit affirmative marketing plans that will explain in detail how each partner will find qualified households to purchase or rent NSP2-assisted units. These plans will include, for example, schedules of public meetings and on-the-ground outreach efforts. The local consortium members have ongoing programs that serve people in the target income groups, providing an initial pool of individuals for the outreach and marketing process. They also have considerable experience in marketing affordable housing programs.

(3) Continual communication plan

Communication with consortium members: ODOD will be responsible for assuring that there is regular and ongoing communication among NSP2 consortium members and other partners regarding program design, progress, opportunities, and results. Throughout the project, ODOD will convene as needed NSP2 trainings for local consortium members, and other organizations working with them on NSP2 activities, to communicate program requirements, share best practices, and collaboratively resolve issues that may arise during implementation. ODOD will also convene quarterly consortium member update meetings (either in-person, or via telephone or the Internet). In addition, ODOD staff with significant CDBG and NSP experience will be available to provide ongoing, one-on-one technical assistance as needed to assist local partners and assure quality and timely implementation of NSP2 activities.

Communication with interested parties: ODOD will use the NSP2 web page (see above) for communication with interested parties on NSP2 progress and activities, and will work with consortium members to ensure that effective marketing and outreach to community stakeholders and the general public takes place.

Processing complaints: ODOD will require its consortium members to process complaints in a timely manner (within 15 working days if feasible) through its existing client complaint process. This process involves several steps, starting with directing clients to speak with the entities doing work on the ground. As a last resort, the complaints would be moved to arbitration.

f. Performance and monitoring

(1) Monitoring plan

The ODOD Office of Housing and Community Partnerships (OHCP) will be responsible for providing NSP2 grant performance monitoring. OHCP staff has extensive experience in monitoring local implementation of housing activities similar to those that will be funded under NSP2. This includes monitoring projects of local governments and non-profits funded with CDBG, HOME, NSP1, the Ohio Housing Trust Fund, and local leveraged funds. The same plan will be implemented for monitoring both NSP2 and Ohio's \$116.8 million NSP1 grant.

As the lead applicant, OHCP will receive and input all data as required by the State of Ohio and ARRA. The set-up of projects and draws for funds will filter through the OHCP Fiscal Grant Management staff. Targeted census tracts and rational project costs will be verified by OHCP Housing staff. Each non-profit consortium member will be monitored, on location, for regulatory compliance. A sampling of administrative and project files will be reviewed for appropriate documentation. A sampling of site inspections will be performed to ensure that standards for quality workmanship were met. A report, summarizing performance and any areas where improvement is needed, will be sent to the local consortium member within approximately 30 days of the site visit. The report will include deadlines for response and resolution if applicable.

(2) Internal audit requirement

The ODOD Audit Office will handle internal auditing responsibilities for all NSP2 funds. Jeff Bankey, Audit Manager within the office, will be primarily responsible for NSP2 consortium member audits. Each non-profit consortium member has, as part of the consortium agreements that are a part of this application, authorized ODOD to perform internal audits for the NSP2 program.

The Audit Office is responsible for ongoing auditing of Ohio's 52 Community Action Agencies, and also responds to requests from ODOD offices for audits of other types of organizations and programs that receive funding from the department. The audit examines expenditure of funds and other compliance requirements to assure the recipient is in conformance with program requirements. The Audit Office also examines program and fiscal management practices, including internal controls, to identify existing or potential problem areas and risky practices. The audit report is shared with local agency staff and ODOD staff for appropriate corrective action.

The Ohio Department of Development, the lead NSP2 applicant, is audited by the staff of the Auditor of State, an independent state elected official.

Factor 4: Leveraging other funds, or removal of substantial negative effects**a. Leverage**

- Firmly committed leveraged resources: \$3.5 million from the Ohio Housing Finance Agency
- Amount of NSP2 funds for which the State of Ohio NSP2 Consortium is applying: \$50 million
- Ratio of leverage to request: 0.070

b. Removal of destabilizing influences (vacant residential addresses)

- Proposed units of housing demolition using NSP2 funds: 360
- Proposed units of housing acquisition/rehabilitation/resale using NSP2 funds: 200
- Count of long-term vacant* residential addresses in target area: 8,876 (USPS, 2009-Q1)
- Ratio of (demolished unit + rehabbed units) x 1.5 to total vacant addresses: 0.095

***Long-term vacant** is defined here as those residential addresses determined by USPS to have been consistently vacant for 12 months or longer.

Factor 5: Energy efficiency improvement and sustainable development factors

a. Transit accessibility

To the extent feasible, consortium partners will coordinate housing activities in areas accessible to transit service. The NSP2 State of Ohio target area is made up of rural areas and portions of smaller cities and towns, and transit service consists primarily of demand-responsive transportation services operated by private companies and nonprofit organizations.

The following are some of the transit systems operating in target area (source: Ohio Public Transit Association website): Allen County Regional Transit Authority; Bowling Green (BG Taxi); Chillicothe Transit System; Central Ohio Transit Authority (COTA); Community Action Rural Transit System (CARTS) - Columbiana County; Community Action Transit System (CATS) - Pike County; Crawford County Transit; Harrison County Rural Transit; Licking County Transit Board; Marion Area Transit; Medina County Transit; Muskingum, Authority of Public Transit (MAPT); Newark-Heath Subsidized Taxi Program; Portage Area Regional Transit Authority; Steel Valley Regional Transit Authority – Steubenville.

b. Green building standards

ODOOD has developed and will require green building standards (see Appendix C) for all newly constructed dwellings. Housing Handbook Part II – 2008 Residential Rehabilitation Standards (RRS), which are posted on <http://www.development.ohio.gov/cdd/ohcp/publications.htm>, will apply for all rehabilitated dwellings. These standards also incorporate many green building standards.

The Green building standards for new construction were developed with consideration of existing standards, especially Enterprise Community Partners' Green Communities Initiative. Other standards that were reviewed and incorporated include: National Association of Home Builders' Model Green Home Building Guidelines, U.S. Department of Housing and Urban Development' Building Energy Star Qualified Dwellings, U.S. Environmental Protection Agency' Best Management Practices and the U.S. Green Building Council's Leadership in Energy and Environmental Design. All partners in the consortium were involved in developing and approving the green building standards to ensure both quality and feasibility.

The standards encompass all phases of green building, from site design, construction process, and building materials to air quality, water and energy efficiency, and building operation and management (e.g. requirement of a homeowner's manual). These dwellings must also conform with applicable sections of the following other codes:

- Residential Code of Ohio
- Ohio Plumbing Code
- Ohio Mechanical Code
- National Electric Code (NFPA 70)
- International Energy Conservation Code
- International Fuel Gas Code
- Relevant local building codes

Since NSP2 projects will be federally funded, the Residential Rehabilitation Standards will automatically require the application of Uniform Federal Accessibility Standards. For housing rehabilitation of pre-1978 structures, projects must comply with applicable state and federal laws, rules and regulations governing the testing and treatment of lead-based paint, including disclosures to residents/buyers.

All new construction and gut rehabilitation activities will be required to exceed the Energy Star for New Homes Standard and all moderate rehabilitations will purchase only Energy Star Appliances and Fixtures. In addition, all NSP homes will be required to meet the green building standards included in the Appendices at the end of this application.

c. Re-use of cleared sites

The Ohio Department of Development asserts that all demolition sites that are purchased by partners of the program will be reused within the term of the NSP2 grant as replacement housing, for use as a community resource, or to provide an environmental function. The chosen reuse will be based on market demand of the area, community housing needs, and environmental function or limitations (i.e. flood plain). As potential reuses, cleared lots may be sold to income-qualified adjacent homeowners or held and maintained as interim recreational or open space until a residential reuse is supported by the market.

d. Deconstruction

NSP2 consortium members will be required to follow the **Green Demolition Standard 1.1:** Consider disassembling existing structures instead of demolition. The developer *should* reuse salvaged materials that meet the green building standards, if possible. The developer *shall* take proper caution with hazardous materials. A recommendation is to dedicate and provide onsite bins and/or space to facilitate the sorting and reuse of scrap building materials. Also, it is recommended to donate salvaged materials that do not meet the green building standards, to a restore home improvement facility or organization (i.e. Habitat's ReStore, the Green Project).

e. Other sustainable development practices

A number of sustainable development standards are described in the appendices at the end of this application. These standards incorporate, and in some cases exceed, many of the green practices recommended by HUD as a part of the NOFA for this application.

Factor 6: Neighborhood transformation and economic opportunity

(1) Plan consistency certification

ODOD certifies that the activities proposed in its NSP2 application are consistent with, and increase the effectiveness of the following plans, organized below by primary content area:

Housing

The **Belmont County Community Housing Improvement Strategy** is consistent with NSP2 goals in encouraging homeownership, community stabilization, and investment in quality affordable housing. The plan outlines a number of innovative techniques to improve housing and affordability: private owner rehabilitation, rent-to-purchase options, energy efficient homes.

Contact: Charles R. Probst, Jr., President, Board of Belmont County Commissioners, (740) 699-2152, cprobst@belcc.com.

The **Darke County Community Housing Improvement Strategy** promotes decent affordable housing for rehabilitation for owner rehab and we have added rental property rehab. The plan targets housing conditions that threaten the health and safety of the household members. Abandoned housing has been a major problem with negative externalities such as crime and fires. NSP2 will support demolition and other activities throughout Darke County. **Contact:** Janey Christman, Director, Community Action Partnership of the Greater Dayton Area, 937-548-8143, janey.christman@cap-dayton.org.

The **City of Marion Community Housing Improvement Strategy**, seeks to rehabilitate existing housing and provide opportunities for new housing to serve low and moderate income families. The report there noted a need for both rental units and owner occupied units as well as support for rental vouchers. Metropolitan Housing had a waiting list of over 700 residents for rental vouchers. **Contact:** Ken Lengieza, Marion City/ County RPC Director, 740-223-4140 or klengieza@co.marion.oh.us.

The **Muskingum County Community Housing Improvement Strategy** shows that one of the most prominent needs in the county is the need for quality and affordable housing. Housing units with handicap accessible upgrades are needed as well. The cost of housing in Muskingum County has been steadily increasing while the incomes of families in the area have remained static. The housing stock already in the county is in need of rehabilitation and upgrading. The issues here included lead based paint, updates on roofs, furnaces, plumbing; and electrical updates. These needs will be addressed with NSP2 to further the goals of Muskingum County and NSP2. Contact: John Bates, President, Board of Muskingum County Commissioners, (740) 455-7100, jdbates@muskingumcounty.org.

General/Comprehensive

NSP2 will help address the local housing needs described in the **City of Lancaster Consolidated Plan**. These needs and issues include blighted properties, neighborhood revitalization, home buyer training, demolition, community improvements, and energy efficiency. Through this plan, NSP2 will supplement resources for the purchase and rehabilitation of properties that have been abandoned or foreclosed, demolition of blighted structures, and the redevelopment of demolished or vacant properties.

<http://www.ci.lancaster.oh.us/dept/commdev/pdf/CHCD2008/Consolidated%20Plan%202008.pdf>

The **MORPC Strategic Plan**, also entitled “Working to Build a Better Region,” focuses MORPC’s work on five key areas of improve sustainability, increase mobility, improve communication, grow membership and be a regional leader in public policy issues. The plan recognizes the current and future needs of urban, rural and suburban communities in central Ohio. For housing, MORPC seeks to “expand and sustain the availability of affordable housing through programs and services which incorporate sustainability, collaboration, and mobility.” <http://www.morpc.org/pdf/MORPCStrategicPlan.pdf>

The **Richland Township Comprehensive Plan**, developed by the Lima-Allen County Regional Planning Commission, seeks to supply safe, sustainable and accessible housing by identifying where housing conditions and values are declining or unstable and develop an appropriate response to improve environment. The plan also calls for resources to stabilize the community’s older housing stock. http://lacrpc.com/documents/RichlandCompPlan--COMPLETE_000.pdf

The **Wood County 2007 Comprehensive Plan**, developed through the Wood County Planning Commission, includes the goals of monitoring conditions and developing strategies to preserve the county’s existing housing resources. The plan establishes methods to update local officials regarding new incentives and growth preservation strategies that are available. <http://www.co.wood.oh.us/planning/comprehensive-land-use-plan.htm>

Land Use

The **Fairfield County Development and Land Use Plan** seeks to expand housing opportunities to those who cannot purchase or rent a safe, sound, and sanitary home large enough to meet their needs at a price or rent which they can afford. The plan promotes diverse and mixed-use neighborhoods, compact developments that enhance accessibility to services and foster community identity.

[http://www.co.fairfield.oh.us/rpc/dev_plan_files/PDFs/Fairfield%20County%20Development%20Strategy%20and%20Land%20Use%20Plan%20\(200.pdf](http://www.co.fairfield.oh.us/rpc/dev_plan_files/PDFs/Fairfield%20County%20Development%20Strategy%20and%20Land%20Use%20Plan%20(200.pdf)

The **City of Findlay Land Use Plan**, developed by the Hancock County Regional Planning Commission, includes the goal of preserving and cultivating the small town character and a welcoming, safe, clean, well maintained, and affordable housing stock through better neighborhood design. The plan advocates for developing a neighborhood plan that would include neighborhood enhancement, stabilization, and revitalization strategies. Another objective is to encourage compatible residential infill development in older neighborhoods.

http://www.hancockrpc.org/upload/20080411143925_5989_Findlay%20Land%20Use%20Plan%20-%20Part%201.pdf

The **Seneca County Comprehensive Land Use Plan**, seeks to improve existing development areas through redevelopment and rehabilitation of properties. The plan provides for the protection of Agricultural Districts and green spaces. **Contact:** Ann M. Bishop, Seneca Regional Planning Commission, 419-443-7936, ann_bishop@senecarpc.org.

Economic Development

The **Comprehensive Economic Development Strategy for Allen County**, includes a number of housing objectives, including to “rehabilitate unsafe and unsightly housing” and “guide controlled residential development into planned places and encourage urban redevelopment.” The plan coordinates housing improvements with other investments and overall economic development. http://lacrpc.com/documents/2007CEDS--COMPLETE_000.pdf

Transportation

The **Gallia County Transportation Plan** seeks to meet special transportation needs of Gallia County residents as a starting point, and later expand to serve the residents of Jackson and Meigs Counties. For the short term, the plan proposes a number of direct public transportation routes to enhance accessibility to jobs and services. In the long term, these pilot programs will be expanded towards direct coordination with larger employers, more service hours, and service across county boundaries. **Contact:** Karen Sprague, County Administrator, Gallia County, 740 446-4612 x232.

(2) Summary: relationship of NSP2 activities to plans

Many of the plans identified above directly support the objectives of city and rural revitalization, redevelopment and infill, and safe and affordable neighborhoods and housing. They identify a range of housing and community needs—abandoned properties, distressed neighborhoods, housing need—that NSP2 and other resources will help tackle. The plans also provide a framework for the coordination of resources toward community development objectives, placing housing into a larger context that includes economic revitalization, infrastructure, and social services.

Virtually all of the target areas are covered by Community Housing Improvement Strategies (CHIS). NSP2 activities are consistent with the housing needs identified by CHIS plans in that they address declining property conditions, as well as the need for decent, safe, and affordable housing, and homeownership opportunities. Planned activities look to increase the availability of affordable housing stock, while at the same time mitigating the effects that vacant and blighted properties have on these neighborhoods. Eliminating blighted structures and promoting the re-occupancy of vacant units will increase the value of the CHIP investment in these areas. The ability to achieve common goals will help to increase and solidify the cooperation with local partners, making future coordination of activities more likely.

NSP2 activities will complement planning in matters beyond housing, supporting sustainable economic development from near-term construction opportunities to longer-term benefits of creating stable neighborhoods for business investment. By planning for housing in a comprehensive land use context, the focus is on mixed-use developments and existing developed areas, which places residents in greater proximity to businesses, services, job opportunities, and infrastructure. This strengthens the relationship between NSP2 housing-oriented activities and potential positive externalities for economic development, transportation, and other arenas of planning.

Disclosure forms

Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing
and Urban Development

OMB Approval No. 2510-0011 (exp. 8/31/2009)

Instructions. (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 2.)

Applicant/Recipient Information

Indicate whether this is an Initial Report ☒ or an Update Report ☐

1. Applicant/Recipient Name, Address, and Phone (include area code): Ohio Department of Development 77 S. High St., Columbus, OH, 43216	2. Social Security Number or Employer ID Number: 311-33-4820
3. HUD Program Name Neighborhood Stabilization Program Round 2 (NSP2)	4. Amount of HUD Assistance Requested/Received \$50,000,000.00
5. State the name and location (street address, City and State) of the project or activity:	

Part I Threshold Determinations

1. Are you applying for assistance for a specific project or activity? These terms do not include formula grants, such as public housing operating subsidy or CDBG block grants. (For further information see 24 CFR Sec. 4.3). <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	2. Have you received or do you expect to receive assistance within the jurisdiction of the Department (HUD), involving the project or activity in this application, in excess of \$200,000 during this fiscal year (Oct. 1 - Sep. 30)? For further information, see 24 CFR Sec. 4.9 <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No.
--	---

If you answered "No" to either question 1 or 2, **Stop!** You do not need to complete the remainder of this form.
However, you must sign the certification at the end of the report.

Part II Other Government Assistance Provided or Requested / Expected Sources and Use of Funds.

Such assistance includes, but is not limited to, any grant, loan, subsidy, guarantee, insurance, payment, credit, or tax benefit.

Department/State/Local Agency Name and Address	Type of Assistance	Amount Requested/Provided	Expected Uses of the Funds
N/A			

(Note: Use Additional pages if necessary.)

Part III Interested Parties. You must disclose:

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).


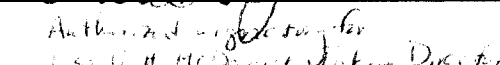
Alphabetical list of all persons with a reportable financial interest in the project or activity (For individuals, give the last name first)	Social Security No. or Employee ID No.	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)
N/A			

(Note: Use Additional pages if necessary.)

Certification

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosures of information, including intentional non-disclosure, is subject to civil money penalty not to exceed \$10,000 for each violation.

I certify that this information is true and complete.

Signature:  x  Lisa H. McDermott, Interim Director	Candace M. Jones Chief Legal Counsel and Ethics Officer	Date: (mm/dd/yyyy) 07/10/2009
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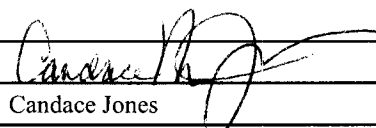
DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

1. Type of Federal Action: <input checked="" type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____	
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Ohio Department of Development 77 South High Street P.O. Box 1001 Columbus, OH, 43216-1001 Congressional District, if known: All 4c			5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: N/A Congressional District, if known:		
6. Federal Department/Agency: Department of Housing and Urban Development (HUD)			7. Federal Program Name/Description: CFDA Number, if applicable: 14.256		
8. Federal Action Number, if known: N/A			9. Award Amount, if known: \$ 50,000,000 Request		
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): N/A			b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):		
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.			Signature:  Print Name: Candace Jones Title: Chief Legal Counsel & Ethics Officer Telephone No.: (614) 728-3000 Date: 7/10/2005		
Federal Use Only:			Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)		

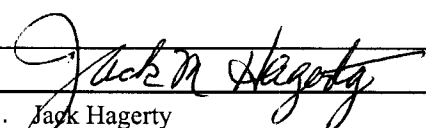
DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0048

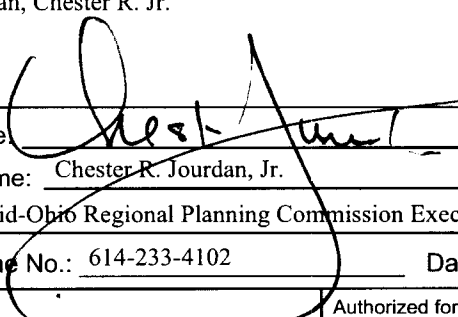
(See reverse for public burden disclosure.)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		2. Status of Federal Action: <input checked="" type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____	
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Community Action Commission of Fayette County 324 East Court Street Washington Court House, OH 43160 Congressional District, if known: 7			5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known:		
6. Federal Department/Agency: HUD			7. Federal Program Name/Description: Neighborhood Stabilization Program 2 CFDA Number, if applicable: 14:256		
8. Federal Action Number, if known:			9. Award Amount, if known: \$ 50,000,000		
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): None			b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):		
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.			Signature:  Print Name: Jack Hagerty Title: Executive Director Telephone No.: 740-335-7282 Date: July 10, 09		
Federal Use Only:			Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)		

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

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0348-0046

1. Type of Federal Action: <input checked="checked" type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance		2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award		3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____	
4. Name and Address of Reporting Entity: <input checked="checked" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Mid-Ohio Regional Planning Commission 111 Liberty Street Suite 100 Columbus, OH 43215-5613 Congressional District, if known: 12			5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known:		
6. Federal Department/Agency: U.S. Department of Housing and Urban Development			7. Federal Program Name/Description: Neighborhood Stabilization Program Round 2 (NSP2) CFDA Number, if applicable: 14.256		
8. Federal Action Number, if known:			9. Award Amount, if known: \$ 550,000,000		
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): Chester R. Jourdan, Jr. Mid-Ohio Regional Planning Commission 111 Liberty Street, Suite 100 Columbus, OH 43215-5613			b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): Jourdan, Chester R. Jr.		
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.			Signature:  Print Name: Chester R. Jourdan, Jr. Title: Mid-Ohio Regional Planning Commission Executive Director Telephone No.: 614-233-4102 Date: 7/14/09		
Federal Use Only:			Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)		

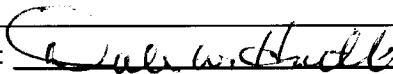
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4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Ohio Regional Development Corporation 120 1/2 South 4th Street Coshocton, Ohio 43812 Congressional District, if known: 4c	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Ohio Department of Development 77 S. High Street P.O. Box 1001 Columbus, Ohio 43216 Congressional District, if known: All	
6. Federal Department/Agency: Department of Housing and Urban Development (HUD)	7. Federal Program Name/Description: Neighborhood Stabilization Program Round 2 (NSP2) CFDA Number, if applicable: 14.256	
8. Federal Action Number, if known:	9. Award Amount, if known: \$ 50,000,000	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): N/A	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: <u></u> Print Name: <u>Dale Hantle</u> Title: <u>President, Ohio Regional Development Corporation</u> Telephone No.: <u>740-622-0529</u> Date: <u>7-10-09</u>	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

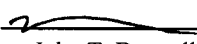
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0348-0046

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4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input checked="" type="checkbox"/> Subawardee Tier _____, if known: Community Action Partnership of the Greater Dayton Area Darke County Congressional District, if known: 4c			5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Ohio Department of Development 77 South High Street PO Box 1001 Columbus Ohio 43216 Congressional District, if known: All		
6. Federal Department/Agency:			7. Federal Program Name/Description: Neighborhood Stabilization Program Round 2 (NSP2) CFDA Number, if applicable: 14.256		
8. Federal Action Number, if known:			9. Award Amount, if known: \$ 50,000,000		
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): N/A			b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):		
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Federal Use Only:			Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)		

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4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Gallia-Meigs Community Action Agency Inc. 8010 North SR 7, PO Box 272 Cheshire, OH 45620 Congressional District, if known: 4c	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Ohio Department of Development 77 S. High St. PO Box 1001 Columbus, OH 43216 Congressional District, if known: A11	
6. Federal Department/Agency:	7. Federal Program Name/Description: Neighborhood Stabilization Program Round 2 (NSP2) CFDA Number, if applicable: 14.256	
8. Federal Action Number, if known:	9. Award Amount, if known: \$ 50,000,000	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): NA	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):	
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Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

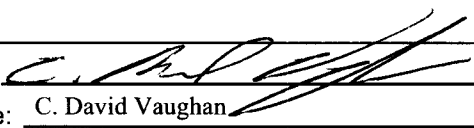
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Approved by OMB

0348-0046

1. Type of Federal Action: <input checked="" type="checkbox"/> B a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance		2. Status of Federal Action: <input checked="" type="checkbox"/> A a. bid/offer/application b. initial award c. post-award		3. Report Type: <input checked="" type="checkbox"/> A a. initial filing b. material change For Material Change Only: year _____ quarter _____ date of last report _____	
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Neighborhood Development Services, Inc. 120 East Main Street Ravenna, Ohio 44266 Congressional District, if known: 4c			5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Ohio Department of Development 77 South High Street P.O. Box 1001 Columbus, Ohio 43216 Congressional District, if known: All		
6. Federal Department/Agency: HUD			7. Federal Program Name/Description: Neighborhood Stabilization Program Round Two (NSP II) CFDA Number, if applicable: 14.256		
8. Federal Action Number, if known: n/a			9. Award Amount, if known: \$ 50,000,000.00		
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): N/A			b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):		
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Federal Use Only:			Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)		

DISCLOSURE OF LOBBYING ACTIVITIES

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4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input checked="" type="checkbox"/> Subawardee Tier _____, if known: WSOS Community Action Commission, Inc. P.O. Box 590 Fremont, OH 43420 Congressional District, if known: Ohio 4 & 5		5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Ohio Department of Development 77 S. High Street P.O. Box 1001 Columbus, OH 43216 Congressional District, if known: all
6. Federal Department/Agency: Department of Housing & Urban Development		7. Federal Program Name/Description: Neighborhood Stabilization Program Round 2 (NSP2) CFDA Number, if applicable: 14.256
8. Federal Action Number, if known:		9. Award Amount, if known: \$ 50,000,000
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): None		b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):
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Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

Appendices List

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B. Target area census tracts

C. Definitions

D. Housing standards

E. Leverage letter of commitment

F. Calculation of removal of negative effects

G. Certifications

H. Citizen comments and posted plan

Appendix A: Code of conduct

Ohio Ethics Law and Related Statutes



The Ohio Ethics Commission

Ben Rose, Chair
Shirley Mays, Vice Chair
Merom Brachman
Betty Davis
Steve Dettelbach
Ann Marie Tracey

David E. Freel, Executive Director

May 2009

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OHIO ETHICS LAW: CHAPTER 102. OF THE REVISED CODE

Section 102.01

As used in this chapter:

(A) “Compensation” means money, thing of value, or financial benefit. “Compensation” does not include reimbursement for actual and necessary expenses incurred in the performance of official duties.

(B) “Public official or employee” means any person who is elected or appointed to an office or is an employee of any public agency. “Public official or employee” does not include a person elected or appointed to the office of precinct, ward, or district committee member under section 3517.03 of the Revised Code, any presidential elector, or any delegate to a national convention. “Public official or employee” does not include a person who is a teacher, instructor, professor, or other kind of educator whose position does not involve the performance of, or authority to perform, administrative or supervisory functions.

(C) “Public agency” means the general assembly, all courts, any department, division, institution, board, commission, authority, bureau or other instrumentality of the state, a county, city, village, or township, the five state retirement systems, or any other governmental entity. “Public agency” does not include a department, division, institution, board, commission, authority, or other instrumentality of the state or a county, municipal corporation, township, or other governmental entity that functions exclusively for cultural, educational, historical, humanitarian, advisory, or research purposes; that does not expend more than ten thousand dollars per calendar year, excluding salaries and wages of employees; and whose members are uncompensated.

(D) “Immediate family” means a spouse residing in the person’s household and any dependent child.

(E) “Income” includes gross income as defined and used in the “Internal Revenue Code of 1986,” 100 Stat. 2085, 26 U.S.C. 1, as amended, interest and dividends on obligations or securities of any state or of any political subdivision or authority of any state or political subdivision, and interest or dividends on obligations of any authority, commission, or instrumentality of the United States.

(F) Except as otherwise provided in division (A) of section 102.08 of the Revised Code, “appropriate ethics commission” means:

(1) For matters relating to members of the general assembly, employees of the general assembly, employees of the legislative service commission, and candidates for the office of member of the general assembly, the joint legislative ethics committee;

(2) For matters relating to judicial officers and employees, and candidates for judicial office, the board of commissioners on grievances and discipline of the supreme court;

(3) For matters relating to all other persons, the Ohio ethics commission.

(G) “Anything of value” has the same meaning as provided in section 1.03 of the Revised Code and includes, but is not limited to, a contribution as defined in section 3517.01 of the Revised Code.

(H) “Honorarium” means any payment made in consideration for any speech given, article published, or attendance at any public or private conference, convention, meeting, social event, meal, or similar gathering. “Honorarium” does not include ceremonial gifts or awards that have insignificant monetary value; unsolicited gifts of nominal value or trivial items of informational value; or earned income from any person, other than a legislative agent, for personal services that are customarily provided in connection with the practice of a bona fide business, if that business initially began before the public official or employee conducting that business was elected or appointed to the public official’s or employee’s office or position of employment.

(I) “Employer” means any person who, directly or indirectly, engages an executive agency lobbyist or legislative agent.

(J) “Executive agency decision,” “executive agency lobbyist,” and “executive agency lobbying activity” have the same meanings as in section 121.60 of the Revised Code.

(K) “Legislation,” “legislative agent,” “financial transaction,” and “actively advocate” have the same meanings as in section 101.70 of the Revised Code.

(L) “Expenditure” has the same meaning as in section 101.70 of the Revised Code when used in relation to activities of a legislative agent, and the same meaning as in section 121.60 of the Revised Code when used in relation to activities of an executive agency lobbyist.

Section 102.02

(A) Except as otherwise provided in division (H) of this section, all of the following shall file with the appropriate ethics commission the disclosure statement described in this division on a form prescribed by the appropriate commission: every person who is elected to or is a candidate for a state, county, or city office and every person who is appointed to fill a vacancy for an unexpired term in such an elective office; all members of the state board of education; the director, assistant directors, deputy directors, division chiefs, or persons of equivalent rank of any administrative department of the state; the president or other chief administrative officer of every state institution of higher education as defined in section 3345.011 of the Revised Code; the executive director and the members of the capitol square review and advisory board appointed or employed pursuant to section 105.41 of the Revised Code; the chief executive officer and the members of the board of each state retirement system; each employee of a state retirement board who is a state retirement system investment officer licensed pursuant to section 1707.163 of the Revised Code; the members of the Ohio retirement study council appointed pursuant to division (C) of section 171.01 of the Revised Code; employees of the Ohio retirement study council, other than employees who perform purely administrative or clerical functions; the administrator of workers’ compensation and each member of the bureau of workers’ compensation board of directors; the bureau of workers’ compensation director of investments; the chief investment officer of the bureau of workers’ compensation; the director appointed by the workers’ compensation council; all members of the board of commissioners on grievances and discipline of the supreme court and the ethics commission created under section 102.05 of the Revised Code; every business manager, treasurer, or superintendent of a city, local, exempted village, joint vocational, or cooperative education school district or an educational service center; every person who is elected to or is a candidate for the office of member of a board of education of a city, local, exempted village, joint vocational, or cooperative education school district or of a governing board of an educational service center that has a total student count of twelve thousand or more as most recently determined by the department of education pursuant to section 3317.03 of the Revised Code; every

person who is appointed to the board of education of a municipal school district pursuant to division (B) or (F) of section 3311.71 of the Revised Code; all members of the board of directors of a sanitary district that is established under Chapter 6115. of the Revised Code and organized wholly for the purpose of providing a water supply for domestic, municipal, and public use, and that includes two municipal corporations in two counties; every public official or employee who is paid a salary or wage in accordance with schedule C of section 124.15 or schedule E-2 of section 124.152 of the Revised Code; members of the board of trustees and the executive director of the southern Ohio agricultural and community development foundation; and every other public official or employee who is designated by the appropriate ethics commission pursuant to division (B) of this section.

The disclosure statement shall include all of the following:

(1) The name of the person filing the statement and each member of the person's immediate family and all names under which the person or members of the person's immediate family do business;

(2)(a) Subject to divisions (A)(2)(b) and (c) of this section and except as otherwise provided in section 102.022 of the Revised Code, identification of every source of income, other than income from a legislative agent identified in division (A)(2)(b) of this section, received during the preceding calendar year, in the person's own name or by any other person for the person's use or benefit, by the person filing the statement, and a brief description of the nature of the services for which the income was received. If the person filing the statement is a member of the general assembly, the statement shall identify the amount of every source of income received in accordance with the following ranges of amounts: zero or more, but less than one thousand dollars; one thousand dollars or more, but less than ten thousand dollars; ten thousand dollars or more, but less than twenty-five thousand dollars; twenty-five thousand dollars or more, but less than fifty thousand dollars; fifty thousand dollars or more, but less than one hundred thousand dollars; and one hundred thousand dollars or more. Division (A)(2)(a) of this section shall not be construed to require a person filing the statement who derives income from a business or profession to disclose the individual items of income that constitute the gross income of that business or profession, except for those individual items of income that are attributable to the person's or, if the income is shared with the person, the partner's, solicitation of services or goods or performance, arrangement, or facilitation of services or provision of goods on behalf of the business or profession of clients, including corporate clients, who are legislative agents. A person who files the statement under this section shall disclose the identity of and the amount of income received from a person who the public official or employee knows or has reason to know is doing or seeking to do business of any kind with the public official's or employee's agency.

(b) If the person filing the statement is a member of the general assembly, the statement shall identify every source of income and the amount of that income that was received from a legislative agent during the preceding calendar year, in the person's own name or by any other person for the person's use or benefit, by the person filing the statement, and a brief description of the nature of the services for which the income was received. Division (A)(2)(b) of this section requires the disclosure of clients of attorneys or persons licensed under section 4732.12 of the Revised Code, or patients of persons certified under section 4731.14 of the Revised Code, if those clients or patients are legislative agents. Division (A)(2)(b) of this section requires a person filing the statement who derives income from a business or profession to disclose those individual items of income that constitute the gross income of that business or profession that are received from legislative agents.

(c) Except as otherwise provided in division (A)(2)(c) of this section, division (A)(2)(a) of this section applies to attorneys, physicians, and other persons who engage in the practice of a profession and who,

pursuant to a section of the Revised Code, the common law of this state, a code of ethics applicable to the profession, or otherwise, generally are required not to reveal, disclose, or use confidences of clients, patients, or other recipients of professional services except under specified circumstances or generally are required to maintain those types of confidences as privileged communications except under specified circumstances. Division (A)(2)(a) of this section does not require an attorney, physician, or other professional subject to a confidentiality requirement as described in division (A)(2)(c) of this section to disclose the name, other identity, or address of a client, patient, or other recipient of professional services if the disclosure would threaten the client, patient, or other recipient of professional services, would reveal details of the subject matter for which legal, medical, or professional advice or other services were sought, or would reveal an otherwise privileged communication involving the client, patient, or other recipient of professional services. Division (A)(2)(a) of this section does not require an attorney, physician, or other professional subject to a confidentiality requirement as described in division (A)(2)(c) of this section to disclose in the brief description of the nature of services required by division (A)(2)(a) of this section any information pertaining to specific professional services rendered for a client, patient, or other recipient of professional services that would reveal details of the subject matter for which legal, medical, or professional advice was sought or would reveal an otherwise privileged communication involving the client, patient, or other recipient of professional services.

(3) The name of every corporation on file with the secretary of state that is incorporated in this state or holds a certificate of compliance authorizing it to do business in this state, trust, business trust, partnership, or association that transacts business in this state in which the person filing the statement or any other person for the person's use and benefit had during the preceding calendar year an investment of over one thousand dollars at fair market value as of the thirty-first day of December of the preceding calendar year, or the date of disposition, whichever is earlier, or in which the person holds any office or has a fiduciary relationship, and a description of the nature of the investment, office, or relationship. Division (A)(3) of this section does not require disclosure of the name of any bank, savings and loan association, credit union, or building and loan association with which the person filing the statement has a deposit or a withdrawable share account.

(4) All fee simple and leasehold interests to which the person filing the statement holds legal title to or a beneficial interest in real property located within the state, excluding the person's residence and property used primarily for personal recreation;

(5) The names of all persons residing or transacting business in the state to whom the person filing the statement owes, in the person's own name or in the name of any other person, more than one thousand dollars. Division (A)(5) of this section shall not be construed to require the disclosure of debts owed by the person resulting from the ordinary conduct of a business or profession or debts on the person's residence or real property used primarily for personal recreation, except that the superintendent of financial institutions shall disclose the names of all state-chartered savings and loan associations and of all service corporations subject to regulation under division (E)(2) of section 1151.34 of the Revised Code to whom the superintendent in the superintendent's own name or in the name of any other person owes any money, and that the superintendent and any deputy superintendent of banks shall disclose the names of all state-chartered banks and all bank subsidiary corporations subject to regulation under section 1109.44 of the Revised Code to whom the superintendent or deputy superintendent owes any money.

(6) The names of all persons residing or transacting business in the state, other than a depository excluded under division (A)(3) of this section, who owe more than one thousand dollars to the person

filing the statement, either in the person's own name or to any person for the person's use or benefit. Division (A)(6) of this section shall not be construed to require the disclosure of clients of attorneys or persons licensed under section 4732.12 or 4732.15 of the Revised Code, or patients of persons certified under section 4731.14 of the Revised Code, nor the disclosure of debts owed to the person resulting from the ordinary conduct of a business or profession.

(7) Except as otherwise provided in section 102.022 of the Revised Code, the source of each gift of over seventy-five dollars, or of each gift of over twenty-five dollars received by a member of the general assembly from a legislative agent, received by the person in the person's own name or by any other person for the person's use or benefit during the preceding calendar year, except gifts received by will or by virtue of section 2105.06 of the Revised Code, or received from spouses, parents, grandparents, children, grandchildren, siblings, nephews, nieces, uncles, aunts, brothers-in-law, sisters-in-law, sons-in-law, daughters-in-law, fathers-in-law, mothers-in-law, or any person to whom the person filing the statement stands in loco parentis, or received by way of distribution from any inter vivos or testamentary trust established by a spouse or by an ancestor;

(8) Except as otherwise provided in section 102.022 of the Revised Code, identification of the source and amount of every payment of expenses incurred for travel to destinations inside or outside this state that is received by the person in the person's own name or by any other person for the person's use or benefit and that is incurred in connection with the person's official duties, except for expenses for travel to meetings or conventions of a national or state organization to which any state agency, including, but not limited to, any legislative agency or state institution of higher education as defined in section 3345.011 of the Revised Code, pays membership dues, or any political subdivision or any office or agency of a political subdivision pays membership dues;

(9) Except as otherwise provided in section 102.022 of the Revised Code, identification of the source of payment of expenses for meals and other food and beverages, other than for meals and other food and beverages provided at a meeting at which the person participated in a panel, seminar, or speaking engagement or at a meeting or convention of a national or state organization to which any state agency, including, but not limited to, any legislative agency or state institution of higher education as defined in section 3345.011 of the Revised Code, pays membership dues, or any political subdivision or any office or agency of a political subdivision pays membership dues, that are incurred in connection with the person's official duties and that exceed one hundred dollars aggregated per calendar year;

(10) If the disclosure statement is filed by a public official or employee described in division (B)(2) of section 101.73 of the Revised Code or division (B)(2) of section 121.63 of the Revised Code who receives a statement from a legislative agent, executive agency lobbyist, or employer that contains the information described in division (F)(2) of section 101.73 of the Revised Code or division (G)(2) of section 121.63 of the Revised Code, all of the nondisputed information contained in the statement delivered to that public official or employee by the legislative agent, executive agency lobbyist, or employer under division (F)(2) of section 101.73 or (G)(2) of section 121.63 of the Revised Code.

A person may file a statement required by this section in person or by mail. A person who is a candidate for elective office shall file the statement no later than the thirtieth day before the primary, special, or general election at which the candidacy is to be voted on, whichever election occurs soonest, except that a person who is a write-in candidate shall file the statement no later than the twentieth day before the earliest election at which the person's candidacy is to be voted on. A person who holds elective office shall file the statement on or before the fifteenth day of April of each year unless the person is a candidate for office. A person who is appointed to fill a vacancy for an unexpired

term in an elective office shall file the statement within fifteen days after the person qualifies for office. Other persons shall file an annual statement on or before the fifteenth day of April or, if appointed or employed after that date, within ninety days after appointment or employment. No person shall be required to file with the appropriate ethics commission more than one statement or pay more than one filing fee for any one calendar year.

The appropriate ethics commission, for good cause, may extend for a reasonable time the deadline for filing a statement under this section.

A statement filed under this section is subject to public inspection at locations designated by the appropriate ethics commission except as otherwise provided in this section.

(B) The Ohio ethics commission, the joint legislative ethics committee, and the board of commissioners on grievances and discipline of the supreme court, using the rule-making procedures of Chapter 119. of the Revised Code, may require any class of public officials or employees under its jurisdiction and not specifically excluded by this section whose positions involve a substantial and material exercise of administrative discretion in the formulation of public policy, expenditure of public funds, enforcement of laws and rules of the state or a county or city, or the execution of other public trusts, to file an annual statement on or before the fifteenth day of April under division (A) of this section. The appropriate ethics commission shall send the public officials or employees written notice of the requirement by the fifteenth day of February of each year the filing is required unless the public official or employee is appointed after that date, in which case the notice shall be sent within thirty days after appointment, and the filing shall be made not later than ninety days after appointment.

Except for disclosure statements filed by members of the board of trustees and the executive director of the southern Ohio agricultural and community development foundation, disclosure statements filed under this division with the Ohio ethics commission by members of boards, commissions, or bureaus of the state for which no compensation is received other than reasonable and necessary expenses shall be kept confidential. Disclosure statements filed with the Ohio ethics commission under division (A) of this section by business managers, treasurers, and superintendents of city, local, exempted village, joint vocational, or cooperative education school districts or educational service centers shall be kept confidential, except that any person conducting an audit of any such school district or educational service center pursuant to section 115.56 or Chapter 117. of the Revised Code may examine the disclosure statement of any business manager, treasurer, or superintendent of that school district or educational service center. The Ohio ethics commission shall examine each disclosure statement required to be kept confidential to determine whether a potential conflict of interest exists for the person who filed the disclosure statement. A potential conflict of interest exists if the private interests of the person, as indicated by the person's disclosure statement, might interfere with the public interests the person is required to serve in the exercise of the person's authority and duties in the person's office or position of employment. If the commission determines that a potential conflict of interest exists, it shall notify the person who filed the disclosure statement and shall make the portions of the disclosure statement that indicate a potential conflict of interest subject to public inspection in the same manner as is provided for other disclosure statements. Any portion of the disclosure statement that the commission determines does not indicate a potential conflict of interest shall be kept confidential by the commission and shall not be made subject to public inspection, except as is necessary for the enforcement of Chapters 102. and 2921. of the Revised Code and except as otherwise provided in this division.

(C) No person shall knowingly fail to file, on or before the applicable filing deadline established under this section, a statement that is required by this section.

(D) No person shall knowingly file a false statement that is required to be filed under this section.

(E)(1) Except as provided in divisions (E)(2) and (3) of this section, the statement required by division (A) or (B) of this section shall be accompanied by a filing fee of forty dollars.

(2) The statement required by division (A) of this section shall be accompanied by the following filing fee to be paid by the person who is elected or appointed to, or is a candidate for, any of the following offices:

For state office, except member of the state board of education	\$65
For office of member of general assembly	\$40
For county office	\$40
For city office	\$25
For office of member of the state board of education	\$25
For office of member of a city, local, exempted village, or cooperative education board of education or educational service center governing board	\$20
For position of business manager, treasurer, or superintendent of a city, local, exempted village, joint vocational, or cooperative education school district or educational service center	\$20

(3) No judge of a court of record or candidate for judge of a court of record, and no referee or magistrate serving a court of record, shall be required to pay the fee required under division (E)(1) or (2) or (F) of this section.

(4) For any public official who is appointed to a nonelective office of the state and for any employee who holds a nonelective position in a public agency of the state, the state agency that is the primary employer of the state official or employee shall pay the fee required under division (E)(1) or (F) of this section.

(F) If a statement required to be filed under this section is not filed by the date on which it is required to be filed, the appropriate ethics commission shall assess the person required to file the statement a late filing fee of ten dollars for each day the statement is not filed, except that the total amount of the late filing fee shall not exceed two hundred fifty dollars.

(G)(1) The appropriate ethics commission other than the Ohio ethics commission shall deposit all fees it receives under divisions (E) and (F) of this section into the general revenue fund of the state.

(2) The Ohio ethics commission shall deposit all receipts, including, but not limited to, fees it receives under divisions (E) and (F) of this section and all moneys it receives from settlements under division (G) of section 102.06 of the Revised Code, into the Ohio ethics commission fund, which is hereby created in the state treasury. All moneys credited to the fund shall be used solely for expenses related to the operation and statutory functions of the commission.

(H) Division (A) of this section does not apply to a person elected or appointed to the office of precinct, ward, or district committee member under Chapter 3517. of the Revised Code; a presidential elector; a delegate to a national convention; village or township officials and employees; any physician or psychiatrist who is paid a salary or wage in accordance with schedule C of section 124.15 or schedule E-2 of section 124.152 of the Revised Code and whose primary duties do not require the exercise of administrative discretion; or any member of a board, commission, or bureau of any county or city who receives less than one thousand dollars per year for serving in that position.

Section 102.021

(A)(1) For the twenty-four month period immediately following the end of the former state elected officer's or staff member's service or public employment, except as provided in division (B) or (D) of this section, each former state elected officer or staff member who filed or was required to file a disclosure statement under section 102.02 of the Revised Code shall file, on or before the deadlines specified in division (D) of this section, with the joint legislative ethics committee a statement that shall include the information described in divisions (A)(2), (3), (4), and (5) of this section, as applicable. The statement shall be filed on a form and in the manner specified by the joint legislative ethics committee. This division does not apply to a state elected officer or staff member who filed or was required to file a disclosure statement under section 102.02 of the Revised Code, who leaves service or public employment, and who takes another position as a state elected officer or staff member who files or is required to file a disclosure statement under that section.

No person shall fail to file, on or before the deadlines specified in division (D) of this section, a statement that is required by this division.

(2) The statement referred to in division (A)(1) of this section shall describe the source of all income received, in the former state elected officer's or staff member's own name or by any other person for the person's use or benefit, and briefly describe the nature of the services for which the income was received if the source of the income was any of the following:

(a) An executive agency lobbyist or a legislative agent;

(b) The employer of an executive agency lobbyist or legislative agent, except that this division does not apply if the employer is any state agency or political subdivision of the state;

(c) Any entity, association, or business that, at any time during the two immediately preceding calendar years, was awarded one or more contracts by one or more state agencies that in the aggregate had a value of one hundred thousand dollars or more, or bid on one or more contracts to be awarded by one or more state agencies that in the aggregate had a value of one hundred thousand dollars or more.

(3) If the former state elected officer or staff member received no income as described in division (A)(2) of this section, the statement referred to in division (A)(1) of this section shall indicate that fact.

(4) If the former state elected officer or staff member directly or indirectly made, either separately or in combination with another, any expenditure or gift for transportation, lodging, or food or beverages to, at the request of, for the benefit of, or on behalf of any public officer or employee, and if the former state elected officer or staff member would be required to report the expenditure or gift in a statement under sections 101.70 to 101.79 or sections 121.60 to 121.69 of the Revised Code, whichever is applicable, if the former state elected officer or staff member was a legislative agent or executive

agency lobbyist at the time the expenditure or gift was made, the statement referred to in division (A)(1) of this section shall include all information relative to that gift or expenditure that would be required in a statement under sections 101.70 to 101.79 or sections 121.60 to 121.69 of the Revised Code if the former state elected officer or staff member was a legislative agent or executive agency lobbyist at the time the expenditure or gift was made.

(5) If the former state elected officer or staff member made no expenditure or gift as described in division (A)(4) of this section, the statement referred to in division (A)(1) of this section shall indicate that fact.

(B) If, at any time during the twenty-four month period immediately following the end of the former state elected officer's or staff member's service or public employment, a former state elected officer or staff member who filed or was required to file a disclosure statement under section 102.02 of the Revised Code becomes a legislative agent or an executive agency lobbyist, the former state elected officer or staff member shall comply with all registration and filing requirements set forth in sections 101.70 to 101.79 or sections 121.60 to 121.69 of the Revised Code, whichever is applicable, and, the former state elected officer or staff member also shall file a statement under division (A)(1) of this section except that the statement filed under division (A)(1) of this section does not need to include information regarding any income source, expenditure, or gift to the extent that that information was included in any registration or statement filed under sections 101.70 to 101.79 or sections 121.60 to 121.69 of the Revised Code.

(C) Except as otherwise provided in this division, division (A)(2) of this section applies to attorneys, physicians, and other persons who engage in the practice of a profession and who, pursuant to a section of the Revised Code, the common law of this state, a code of ethics applicable to the profession, or otherwise, generally are required not to reveal, disclose, or use confidences of clients, patients, or other recipients of professional services except under specified circumstances or generally are required to maintain those types of confidences as privileged communications except under specified circumstances. Division (A)(2) of this section does not require an attorney, physician, or other professional subject to a confidentiality requirement as described in this division to disclose the name, other identity, or address of a client, patient, or other recipient of professional services if the disclosure would threaten the client, patient, or other recipient of professional services, would reveal details of the subject matter for which legal, medical, or professional advice or other services were sought, or would reveal an otherwise privileged communication involving the client, patient, or other recipient of professional services. Division (A)(2) of this section does not require an attorney, physician, or other professional subject to a confidentiality requirement as described in this division to disclose in the brief description of the nature of services required by division (A)(2) of this section any information pertaining to specific professional services rendered for a client, patient, or other recipient of professional services that would reveal details of the subject matter for which legal, medical, or professional advice was sought or would reveal an otherwise privileged communication involving the client, patient, or other recipient of professional services.

(D)(1) Each state elected officer or staff member who filed or was required to file a disclosure statement under section 102.02 of the Revised Code and who leaves public service or public employment shall file an initial statement under division (A)(1) of this section not later than the day on which the former state elected officer or staff member leaves public service or public employment. The initial statement shall specify whether the person will, or will not, receive any income from a source described in division (A)(2)(a), (b), or (c) of this section.

If a person files an initial statement under this division that states that the person will receive income from a source described in division (A)(2)(a), (b), or (c) of this section, the person is required to file statements under division (A)(2), (3), (4), or (5) of this section at the times specified in division (D)(2) of this section.

If a person files an initial statement under this division that states that the person will not receive income from a source described in division (A)(2)(a), (b), or (c) of this section, except as otherwise provided in this division, the person is not required to file statements under division (A)(2), (4), or (5) of this section or to file subsequent statements under division (A)(3) of this section. If a person files an initial statement under this division that states that the person will not receive income from a source described in division (A)(2)(a), (b), or (c) of this section, and, subsequent to the filing of that initial statement, the person receives any income from a source described in division (A)(2)(a), (b), or (c) of this section, the person within ten days shall file a statement under division (A)(2) of this section that contains the information described in that division, and the person thereafter shall file statements under division (A)(2), (3), (4), or (5) of this section at the times specified in division (D)(2) of this section.

(2) After the filing of the initial statement under division (D)(1) of this section, each person required to file a statement under division (A)(2), (3), (4), or (5) of this section shall file it on or before the last calendar day of January, May, and September. The statements described in divisions (A)(2), (3), and (5) of this section shall relate to the sources of income the person received in the immediately preceding filing period from each source of income in each of the categories listed in division (A)(2) of this section. The statement described in division (A)(4) of this section shall include any information required to be reported regarding expenditures and gifts of the type described in division (A)(4) of this section occurring since the filing of the immediately preceding statement.

If, pursuant to this division, a person files a statement under division (A)(2) of this section, the person is required to file statements under division (A)(4) of this section, and subsequent statements under division (A)(2), (3), or (5) of this section, at the times specified in this division. In addition, if, subsequent to the filing of the statement under division (A)(2) of this section, the person receives any income from a source described in division (A)(2)(a), (b), or (c) of this section that was not listed on the statement filed under division (A)(2) of this section, the person within ten days shall file a statement under division (A)(2) of this section that contains the information described in that division regarding the new income source.

If, pursuant to this division, a person files a statement under division (A)(3) of this section, except as otherwise provided in this division, the person thereafter is not required to file statements under division (A)(2), (4), or (5) of this section, or to file subsequent statements under division (A)(3) of this section. If, subsequent to the filing of the statement under division (A)(3) of this section, the person receives any income from a source described in division (A)(2)(a), (b), or (c) of this section, the person within ten days shall file a statement under division (A)(2) of this section that contains the information described in that division regarding the new income source, and the person thereafter shall file statements under division (A)(4) of this section, and subsequent statements under division (A)(2) or (3) of this section, at the times specified in this division.

(3) No fee shall be required for filing an initial statement under division (D)(1) of this section. The person filing a statement under division (D)(2) of this section that is required to be filed on or before the last calendar day of January, May, and September shall pay a ten dollar filing fee with each such statement not to exceed thirty dollars in any calendar year. The joint legislative ethics committee may charge late fees in the same manner as specified in division (G) of section 101.72 of the Revised Code.

(E) Any state elected officer or staff member who filed or was required to file a disclosure statement under section 102.02 of the Revised Code and who leaves public service or public employment shall provide a forwarding address to the officer's or staff member's last employer, and the employer shall provide the person's name and address to the joint legislative ethics committee. The former elected state officer or staff member shall provide updated forwarding addresses as necessary to the joint legislative ethics committee during the twenty-four month period during which division (A)(1) of this section applies. The public agency or appointing authority that was the last employer of a person required to file a statement under division (A)(2) of this section shall furnish to the person a copy of the form needed to complete the initial statement required under division (D)(1) of this section.

(F) During the twenty-four month period immediately following the end of the former state elected officer's or staff member's service or public employment, no person required to file a statement under this section shall receive from a source described in division (A)(2)(a), (b), or (c) of this section, and no source described in division (A)(2)(a), (b), or (c) of this section shall pay to that person, any compensation that is contingent in any way upon the introduction, modification, passage, or defeat of any legislation or the outcome of any executive agency decision.

(G) As used in this section "state elected officer or staff member" means any elected officer of this state, any staff, as defined in section 101.70 of the Revised Code, or any staff, as defined in section 121.60 of the Revised Code.

Section 102.022

Each person who is an officer or employee of a political subdivision, who receives compensation of less than sixteen thousand dollars a year for holding an office or position of employment with that political subdivision, and who is required to file a statement under section 102.02 of the Revised Code, and each member of the board of trustees of a state institution of higher education as defined in section 3345.011 of the Revised Code who is required to file a statement under section 102.02 of the Revised Code, shall include in that statement, in place of the information required by divisions (A)(2), (7), (8), and (9) of that section, the following information:

(A) Exclusive of reasonable expenses, identification of every source of income over five hundred dollars received during the preceding calendar year, in the officer's or employee's own name or by any other person for the officer's or employee's use or benefit, by the person filing the statement, and a brief description of the nature of the services for which the income was received. This division shall not be construed to require the disclosure of clients of attorneys or persons licensed under section 4732.12 or 4732.15 of the Revised Code or patients of persons certified under section 4731.14 of the Revised Code. This division shall not be construed to require a person filing the statement who derives income from a business or profession to disclose the individual items of income that constitute the gross income of the business or profession.

(B) The source of each gift of over five hundred dollars received by the person in the officer's or employee's own name or by any other person for the officer's or employee's use or benefit during the preceding calendar year, except gifts received by will or by virtue of section 2105.06 of the Revised Code, received from parents, grandparents, children, grandchildren, siblings, nephews, nieces, uncles, aunts, brothers-in-law, sisters-in-law, sons-in-law, daughters-in-law, fathers-in-law, mothers-in-law, or any person to whom the person filing the statement stands in loco parentis, or received by way of distribution from any inter vivos or testamentary trust established by a spouse or by an ancestor.

Section 102.03

(A)(1) No present or former public official or employee shall, during public employment or service or for twelve months thereafter, represent a client or act in a representative capacity for any person on any matter in which the public official or employee personally participated as a public official or employee through decision, approval, disapproval, recommendation, the rendering of advice, investigation, or other substantial exercise of administrative discretion.

(2) For twenty-four months after the conclusion of service, no former commissioner or attorney examiner of the public utilities commission shall represent a public utility, as defined in section 4905.02 of the Revised Code, or act in a representative capacity on behalf of such a utility before any state board, commission, or agency.

(3) For twenty-four months after the conclusion of employment or service, no former public official or employee who personally participated as a public official or employee through decision, approval, disapproval, recommendation, the rendering of advice, the development or adoption of solid waste management plans, investigation, inspection, or other substantial exercise of administrative discretion under Chapter 343. or 3734. of the Revised Code shall represent a person who is the owner or operator of a facility, as defined in section 3734.01 of the Revised Code, or who is an applicant for a permit or license for a facility under that chapter, on any matter in which the public official or employee personally participated as a public official or employee.

(4) For a period of one year after the conclusion of employment or service as a member or employee of the general assembly, no former member or employee of the general assembly shall represent, or act in a representative capacity for, any person on any matter before the general assembly, any committee of the general assembly, or the controlling board. Division (A)(4) of this section does not apply to or affect a person who separates from service with the general assembly on or before December 31, 1995. As used in division (A)(4) of this section “person” does not include any state agency or political subdivision of the state.

(5) As used in divisions (A)(1), (2), and (3) of this section, “matter” includes any case, proceeding, application, determination, issue, or question, but does not include the proposal, consideration, or enactment of statutes, rules, ordinances, resolutions, or charter or constitutional amendments. As used in division (A)(4) of this section, “matter” includes the proposal, consideration, or enactment of statutes, resolutions, or constitutional amendments. As used in division (A) of this section, “represent” includes any formal or informal appearance before, or any written or oral communication with, any public agency on behalf of any person.

(6) Nothing contained in division (A) of this section shall prohibit, during such period, a former public official or employee from being retained or employed to represent, assist, or act in a representative capacity for the public agency by which the public official or employee was employed or on which the public official or employee served.

(7) Division (A) of this section shall not be construed to prohibit the performance of ministerial functions, including, but not limited to, the filing or amendment of tax returns, applications for permits and licenses, incorporation papers, and other similar documents.

(B) No present or former public official or employee shall disclose or use, without appropriate authorization, any information acquired by the public official or employee in the course of the public

official's or employee's official duties that is confidential because of statutory provisions, or that has been clearly designated to the public official or employee as confidential when that confidential designation is warranted because of the status of the proceedings or the circumstances under which the information was received and preserving its confidentiality is necessary to the proper conduct of government business.

(C) No public official or employee shall participate within the scope of duties as a public official or employee, except through ministerial functions as defined in division (A) of this section, in any license or rate-making proceeding that directly affects the license or rates of any person, partnership, trust, business trust, corporation, or association in which the public official or employee or immediate family owns or controls more than five per cent. No public official or employee shall participate within the scope of duties as a public official or employee, except through ministerial functions as defined in division (A) of this section, in any license or rate-making proceeding that directly affects the license or rates of any person to whom the public official or employee or immediate family, or a partnership, trust, business trust, corporation, or association of which the public official or employee or the public official's or employee's immediate family owns or controls more than five per cent, has sold goods or services totaling more than one thousand dollars during the preceding year, unless the public official or employee has filed a written statement acknowledging that sale with the clerk or secretary of the public agency and the statement is entered in any public record of the agency's proceedings. This division shall not be construed to require the disclosure of clients of attorneys or persons licensed under section 4732.12 or 4732.15 of the Revised Code, or patients of persons certified under section 4731.14 of the Revised Code.

(D) No public official or employee shall use or authorize the use of the authority or influence of office or employment to secure anything of value or the promise or offer of anything of value that is of such a character as to manifest a substantial and improper influence upon the public official or employee with respect to that person's duties.

(E) No public official or employee shall solicit or accept anything of value that is of such a character as to manifest a substantial and improper influence upon the public official or employee with respect to that person's duties.

(F) No person shall promise or give to a public official or employee anything of value that is of such a character as to manifest a substantial and improper influence upon the public official or employee with respect to that person's duties.

(G) In the absence of bribery or another offense under the Revised Code or a purpose to defraud, contributions made to a campaign committee, political party, legislative campaign fund, political action committee, or political contributing entity on behalf of an elected public officer or other public official or employee who seeks elective office shall be considered to accrue ordinarily to the public official or employee for the purposes of divisions (D), (E), and (F) of this section.

As used in this division, "contributions," "campaign committee," "political party," "legislative campaign fund," "political action committee," and "political contributing entity" have the same meanings as in section 3517.01 of the Revised Code.

(H)(1) No public official or employee, except for the president or other chief administrative officer of or a member of a board of trustees of a state institution of higher education as defined in section 3345.011 of the Revised Code, who is required to file a financial disclosure statement under section

102.02 of the Revised Code shall solicit or accept, and no person shall give to that public official or employee, an honorarium. Except as provided in division (H)(2) of this section, this division and divisions (D), (E), and (F) of this section do not prohibit a public official or employee who is required to file a financial disclosure statement under section 102.02 of the Revised Code from accepting and do not prohibit a person from giving to that public official or employee the payment of actual travel expenses, including any expenses incurred in connection with the travel for lodging, and meals, food, and beverages provided to the public official or employee at a meeting at which the public official or employee participates in a panel, seminar, or speaking engagement or provided to the public official or employee at a meeting or convention of a national organization to which any state agency, including, but not limited to, any state legislative agency or state institution of higher education as defined in section 3345.011 of the Revised Code, pays membership dues. Except as provided in division (H)(2) of this section, this division and divisions (D), (E), and (F) of this section do not prohibit a public official or employee who is not required to file a financial disclosure statement under section 102.02 of the Revised Code from accepting and do not prohibit a person from promising or giving to that public official or employee an honorarium or the payment of travel, meal, and lodging expenses if the honorarium, expenses, or both were paid in recognition of demonstrable business, professional, or esthetic interests of the public official or employee that exist apart from public office or employment, including, but not limited to, such a demonstrable interest in public speaking and were not paid by any person or other entity, or by any representative or association of those persons or entities, that is regulated by, doing business with, or seeking to do business with the department, division, institution, board, commission, authority, bureau, or other instrumentality of the governmental entity with which the public official or employee serves.

(2) No person who is a member of the board of a state retirement system, a state retirement system investment officer, or an employee of a state retirement system whose position involves substantial and material exercise of discretion in the investment of retirement system funds shall solicit or accept, and no person shall give to that board member, officer, or employee, payment of actual travel expenses, including expenses incurred with the travel for lodging, meals, food, and beverages.

(I) A public official or employee may accept travel, meals, and lodging or expenses or reimbursement of expenses for travel, meals, and lodging in connection with conferences, seminars, and similar events related to official duties if the travel, meals, and lodging, expenses, or reimbursement is not of such a character as to manifest a substantial and improper influence upon the public official or employee with respect to that person's duties. The house of representatives and senate, in their code of ethics, and the Ohio ethics commission, under section 111.15 of the Revised Code, may adopt rules setting standards and conditions for the furnishing and acceptance of such travel, meals, and lodging, expenses, or reimbursement.

A person who acts in compliance with this division and any applicable rules adopted under it, or any applicable, similar rules adopted by the supreme court governing judicial officers and employees, does not violate division (D), (E), or (F) of this section. This division does not preclude any person from seeking an advisory opinion from the appropriate ethics commission under section 102.08 of the Revised Code.

(J) For purposes of divisions (D), (E), and (F) of this section, the membership of a public official or employee in an organization shall not be considered, in and of itself, to be of such a character as to manifest a substantial and improper influence on the public official or employee with respect to that person's duties. As used in this division, "organization" means a church or a religious, benevolent, fraternal, or professional organization that is tax exempt under subsection 501(a) and described in

subsection 501(c)(3), (4), (8), (10), or (19) of the “Internal Revenue Code of 1986.” This division does not apply to a public official or employee who is an employee of an organization, serves as a trustee, director, or officer of an organization, or otherwise holds a fiduciary relationship with an organization. This division does not allow a public official or employee who is a member of an organization to participate, formally or informally, in deliberations, discussions, or voting on a matter or to use his official position with regard to the interests of the organization on the matter if the public official or employee has assumed a particular responsibility in the organization with respect to the matter or if the matter would affect that person’s personal, pecuniary interests.

(K) It is not a violation of this section for a prosecuting attorney to appoint assistants and employees in accordance with division (B) of section 309.06 and section 2921.421 of the Revised Code, for a chief legal officer of a municipal corporation or an official designated as prosecutor in a municipal corporation to appoint assistants and employees in accordance with sections 733.621 and 2921.421 of the Revised Code, for a township law director appointed under section 504.15 of the Revised Code to appoint assistants and employees in accordance with sections 504.151 and 2921.421 of the Revised Code, or for a coroner to appoint assistants and employees in accordance with division (B) of section 313.05 of the Revised Code.

As used in this division, “chief legal officer” has the same meaning as in section 733.621 of the Revised Code.

Section 102.031

(A) As used in this section:

(1) “Business associate” means a person with whom a member of the general assembly is conducting or undertaking a financial transaction.

(2) “Contribution” has the same meaning as in section 3517.01 of the Revised Code.

(3) “Employee” does not include a member of the general assembly whose nonlegislative position of employment does not involve the performance of or the authority to perform administrative or supervisory functions; or whose nonlegislative position of employment, if the member is a public employee, does not involve a substantial and material exercise of administrative discretion in the formulation of public policy, expenditure of public funds, enforcement of laws and rules of the state or a county or city, or execution of other public trusts.

(B) No member of the general assembly shall vote on any legislation that the member knows is then being actively advocated if the member is one of the following with respect to a legislative agent or employer that is then actively advocating on that legislation:

(1) An employee;

(2) A business associate;

(3) A person, other than an employee, who is hired under contract to perform certain services, and that position involves a substantial and material exercise of administrative discretion in the formulation of public policy.

(C) No member of the general assembly shall knowingly accept any of the following from a legislative agent or a person required to file a statement described in division (A)(2) of section 102.021 of the Revised Code:

(1) The payment of any expenses for travel or lodging except as otherwise authorized by division (H) of section 102.03 of the Revised Code;

(2) More than seventy-five dollars aggregated per calendar year as payment for meals and other food and beverages, other than for those meals and other food and beverages provided to the member at a meeting at which the member participates in a panel, seminar, or speaking engagement, at a meeting or convention of a national organization to which any state agency, including, but not limited to, any legislative agency or state institution of higher education as defined in section 3345.011 of the Revised Code, pays membership dues, or at a dinner, party, or function to which all members of the general assembly or all members of either house of the general assembly are invited;

(3) A gift of any amount in the form of cash or the equivalent of cash, or a gift of any other thing of value whose value exceeds seventy-five dollars. As used in division (C)(3) of this section, "gift" does not include any contribution or any gifts of meals and other food and beverages or the payment of expenses incurred for travel to destinations either inside or outside this state that is received by a member of the general assembly and that is incurred in connection with the member's official duties.

(D) It is not a violation of division (C)(2) of this section if, within sixty days after receiving notice from a legislative agent that the legislative agent has provided a member of the general assembly with more than seventy-five dollars aggregated in a calendar year as payment for meals and other food and beverages, the member of the general assembly returns to that legislative agent the amount received that exceeds seventy-five dollars.

(E) The joint legislative ethics committee may impose a fine of not more than one thousand dollars upon a member of the general assembly who violates division (B) of this section.

Section 102.04

(A) Except as provided in division (D) of this section, no person elected or appointed to an office of or employed by the general assembly or any department, division, institution, instrumentality, board, commission, or bureau of the state, excluding the courts, shall receive or agree to receive directly or indirectly compensation other than from the agency with which he serves for any service rendered or to be rendered by him personally in any case, proceeding, application, or other matter that is before the general assembly or any department, division, institution, instrumentality, board, commission, or bureau of the state, excluding the courts.

(B) Except as provided in division (D) of this section, no person elected or appointed to an office of or employed by the general assembly or any department, division, institution, instrumentality, board, commission, or bureau of the state, excluding the courts, shall sell or agree to sell, except through competitive bidding, any goods or services to the general assembly or any department, division, institution, instrumentality, board, commission, or bureau of the state, excluding the courts.

(C) Except as provided in division (D) of this section, no person who is elected or appointed to an office of or employed by a county, township, municipal corporation, or any other governmental entity, excluding the courts, shall receive or agree to receive directly or indirectly compensation other than

from the agency with which he serves for any service rendered or to be rendered by him personally in any case, proceeding, application, or other matter which is before any agency, department, board, bureau, commission, or other instrumentality, excluding the courts, of the entity of which he is an officer or employee.

(D) A public official who is appointed to a nonelective office or a public employee shall be exempted from division (A), (B), or (C) of this section if both of the following apply:

(1) The agency to which the official or employee wants to sell the goods or services, or before which the matter that involves the rendering of his services is pending, is an agency other than the one with which he serves;

(2) Prior to rendering the personal services or selling or agreeing to sell the goods or services, he files a statement with the appropriate ethics commission, with the public agency with which he serves, and with the public agency before which the matter is pending or that is purchasing or has agreed to purchase goods or services.

The required statement shall contain the official's or employee's name and home address, the name and mailing address of the public agencies with which he serves and before which the matter is pending or that is purchasing or has agreed to purchase goods or services, and a brief description of the pending matter and of the personal services to be rendered or a brief description of the goods or services to be purchased. The statement shall also contain the public official's or employee's declaration that he disqualifies himself for a period of two years from any participation as such public official or employee in any matter involving any public official or employee of the agency before which the present matter is pending or to which goods or services are to be sold. The two-year period shall run from the date of the most recently filed statement regarding the agency before which the matter was pending or to which the goods or services were to be sold. No person shall be required to file statements under this division with the same public agency regarding a particular matter more than once in a calendar year.

(E) No public official or employee who files a statement or is required to file a statement under division (D) of this section shall knowingly fail to disqualify himself from any participation as a public official or employee of the agency with which he serves in any matter involving any official or employee of an agency before which a matter for which he rendered personal services was pending or of a public agency that purchased or agreed to purchase goods or services.

(F) This section shall not be construed to prohibit the performance of ministerial functions including, but not limited to, the filing, or amendment of tax returns, applications for permits and licenses, incorporation papers, and other documents.

Section 102.05

There is hereby created the Ohio ethics commission consisting of six members, three of whom shall be members of each of the two major political parties, to be appointed by the governor with the advice and consent of the senate. Within thirty days of the effective date of this section, the governor shall make initial appointments to the commission. Of the initial appointments made to the commission, one shall be for a term ending one year after the effective date of this section, and the other appointments shall be for terms ending two, three, four, five, and six years, respectively, after the effective date of this section. Thereafter, terms of office shall be for six years, each term ending on the same day of the

same month of the year as did the term that it succeeds. Each member shall hold office from the date of his appointment until the end of the term for which he was appointed. Any member appointed to fill a vacancy occurring prior to the expiration of the term for which his predecessor was appointed shall hold office for the remainder of that term.

No person shall be appointed to the commission or shall continue to serve as a member of the commission if the person is subject to section 102.02 of the Revised Code other than by reason of his appointment to the commission or if the person is a legislative agent registered under sections 101.70 to 101.79 of the Revised Code or an executive agency lobbyist registered under sections 121.60 to 121.69 of the Revised Code. Each member shall be paid seventy-five dollars for each meeting held in the discharge of his official duties, except that no member shall be paid more than eighteen hundred dollars in any fiscal year. Each member shall be reimbursed for expenses actually and necessarily incurred in the performance of his official duties.

The commission shall meet within two weeks after all members have been appointed, at a time and place determined by the governor. At its first meeting, the commission shall elect a chairman and other officers that are necessary and shall adopt rules for its procedures. After the first meeting, the commission shall meet at the call of the chairman or upon the written request of a majority of the members. A majority of the members of the commission constitutes a quorum. The commission shall not take any action without the concurrence of a majority of the members of the commission.

The commission may appoint and fix the compensation of an executive director and other technical, professional, and clerical employees that are necessary to carry out the duties of the commission.

The commission may appoint hearing examiners to conduct hearings pursuant to section 102.06 of the Revised Code. The hearing examiners have the same powers and authority in conducting the hearings as is granted to the commission. Within thirty days after the hearing, the hearing examiner shall submit to the commission a written report of his findings of fact and conclusions of law and a recommendation of the action to be taken by the commission. The recommendation of the hearing examiner may be approved, modified, or disapproved by the commission, and no recommendation shall become the findings of the commission until so ordered by the commission. The findings of the commission shall have the same effect as if the hearing had been conducted by the commission. Hearing examiners appointed pursuant to this section shall possess the qualifications the commission requires. Nothing contained in this section shall preclude the commission from appointing a member of the commission to serve as a hearing examiner.

Section 102.06

(A) The appropriate ethics commission shall receive and may initiate complaints against persons subject to this chapter concerning conduct alleged to be in violation of this chapter or section 2921.42 or 2921.43 of the Revised Code. All complaints except those by the commission shall be by affidavit made on personal knowledge, subject to the penalties of perjury. Complaints by the commission shall be by affidavit, based upon reasonable cause to believe that a violation has occurred.

(B) The appropriate ethics commission shall investigate complaints, may investigate charges presented to it, and may request further information, including the specific amount of income from a source, from any person filing with the commission a statement required by section 102.02 or 102.021 of the Revised Code, if the information sought is directly relevant to a complaint or charges received by the commission pursuant to this section. This information is confidential, except that the commission, in

its discretion, may share information gathered in the course of any investigation with, or disclose the information to, the inspector general, any appropriate prosecuting authority, any law enforcement agency, or any other appropriate ethics commission. If the accused person is a member of the public employees retirement board, state teachers retirement board, school employees retirement board, board of trustees of the Ohio police and fire pension fund, or state highway patrol retirement board, or is a member of the bureau of workers' compensation board of directors, the appropriate ethics commission, in its discretion, also may share information gathered in the course of an investigation with, or disclose the information to, the attorney general and the auditor of state. The person so requested shall furnish the information to the commission, unless within fifteen days from the date of the request the person files an action for declaratory judgment challenging the legitimacy of the request in the court of common pleas of the county of the person's residence, the person's place of employment, or Franklin county. The requested information need not be furnished to the commission during the pendency of the judicial proceedings. Proceedings of the commission in connection with the declaratory judgment action shall be kept confidential except as otherwise provided by this section. Before the commission proceeds to take any formal action against a person who is the subject of an investigation based on charges presented to the commission, a complaint shall be filed against the person. If the commission finds that a complaint is not frivolous, and there is reasonable cause to believe that the facts alleged in a complaint constitute a violation of section 102.02, 102.021, 102.03, 102.04, 102.07, 2921.42, or 2921.43 of the Revised Code, it shall hold a hearing. If the commission does not so find, it shall dismiss the complaint and notify the accused person in writing of the dismissal of the complaint. The commission shall not make a report of its finding unless the accused person requests a report. Upon the request of the accused person, the commission shall make a public report of its finding. The person against whom the complaint is directed shall be given reasonable notice by certified mail of the date, time, and place of the hearing and a statement of the charges and the law directly involved and shall be given the opportunity to be represented by counsel, to have counsel appointed for the person if the person is unable to afford counsel without undue hardship, to examine the evidence against the person, to produce evidence and to call and subpoena witnesses in the person's defense, to confront the person's accusers, and to cross-examine witnesses. The commission shall have a stenographic record made of the hearing. The hearing shall be closed to the public.

(C)(1)(a) If, upon the basis of the hearing, the appropriate ethics commission finds by a preponderance of the evidence that the facts alleged in the complaint are true and constitute a violation of section 102.02, 102.021, 102.03, 102.04, 102.07, 2921.42, or 2921.43 of the Revised Code, it shall report its findings to the appropriate prosecuting authority for proceedings in prosecution of the violation and to the appointing or employing authority of the accused. If the accused person is a member of the public employees retirement board, state teachers retirement board, school employees retirement board, board of trustees of the Ohio police and fire pension fund, or state highway patrol retirement board, the commission also shall report its findings to the Ohio retirement study council.

(b) If the Ohio ethics commission reports its findings to the appropriate prosecuting authority under division (C)(1)(a) of this section and the prosecuting authority has not initiated any official action on those findings within ninety days after receiving the commission's report of them, the commission may publicly comment that no official action has been taken on its findings, except that the commission shall make no comment in violation of the Rules of Criminal Procedure or about any indictment that has been sealed pursuant to any law or those rules. The commission shall make no comment regarding the merits of its findings. As used in division (C)(1)(b) of this section, "official action" means prosecution, closure after investigation, or grand jury action resulting in a true bill of indictment or no true bill of indictment.

(2) If the appropriate ethics commission does not find by a preponderance of the evidence that the facts alleged in the complaint are true and constitute a violation of section 102.02, 102.021, 102.03, 102.04, 102.07, 2921.42, or 2921.43 of the Revised Code or if the commission has not scheduled a hearing within ninety days after the complaint is filed or has not finally disposed of the complaint within six months after it has been heard, it shall dismiss the complaint and notify the accused person in writing of the dismissal of the complaint. The commission shall not make a report of its finding unless the accused person requests a report. Upon the request of the accused person, the commission shall make a public report of the finding, but in this case all evidence and the record of the hearing shall remain confidential unless the accused person also requests that the evidence and record be made public. Upon request by the accused person, the commission shall make the evidence and the record available for public inspection.

(D) The appropriate ethics commission, or a member of the commission, may administer oaths, and the commission may issue subpoenas to any person in the state compelling the attendance of witnesses and the production of relevant papers, books, accounts, and records. The commission shall issue subpoenas to compel the attendance of witnesses and the production of documents upon the request of an accused person. Section 101.42 of the Revised Code shall govern the issuance of these subpoenas insofar as applicable. Upon the refusal of any person to obey a subpoena or to be sworn or to answer as a witness, the commission may apply to the court of common pleas of Franklin county under section 2705.03 of the Revised Code. The court shall hold proceedings in accordance with Chapter 2705. of the Revised Code. The commission or the accused person may take the depositions of witnesses residing within or without the state in the same manner as prescribed by law for the taking of depositions in civil actions in the court of common pleas.

(E) At least once each year, the Ohio ethics commission shall report on its activities of the immediately preceding year to the majority and minority leaders of the senate and house of representatives of the general assembly. The report shall indicate the total number of complaints received, initiated, and investigated by the commission, the total number of complaints for which formal hearings were held, and the total number of complaints for which formal prosecution was recommended or requested by the commission. The report also shall indicate the nature of the inappropriate conduct alleged in each complaint and the governmental entity with which any employee or official that is the subject of a complaint was employed at the time of the alleged inappropriate conduct.

(F) All papers, records, affidavits, and documents upon any complaint, inquiry, or investigation relating to the proceedings of the appropriate ethics commission shall be sealed and are private and confidential, except as otherwise provided in this section and section 102.07 of the Revised Code.

(G)(1) When a complaint or charge is before it, the Ohio ethics commission or the appropriate prosecuting authority, in consultation with the person filing the complaint or charge, the accused, and any other person the commission or prosecuting authority considers necessary, may compromise or settle the complaint or charge with the agreement of the accused. The compromise or settlement may include mediation, restitution, rescission of affected contracts, forfeiture of any benefits resulting from a violation or potential violation of law, resignation of a public official or employee, or any other relief that is agreed upon between the commission or prosecuting authority and the accused.

(2) Any settlement agreement entered into under division (G)(1) of this section shall be in writing and be accompanied by a statement of the findings of the commission or prosecuting authority and the reasons for entering into the agreement. The commission or prosecuting authority shall retain the agreement and statement in the commission's or prosecuting authority's office and, in the

commission's or prosecuting authority's discretion, may make the agreement, the statement, and any supporting information public, unless the agreement provides otherwise.

(3) If a settlement agreement is breached by the accused, the commission or prosecuting authority, in the commission's or prosecuting authority's discretion, may rescind the agreement and reinstitute any investigation, hearing, or prosecution of the accused. No information obtained from the accused in reaching the settlement that is not otherwise discoverable from the accused shall be used in any proceeding before the commission or by the appropriate prosecuting authority in prosecuting the violation. Notwithstanding any other section of the Revised Code, if a settlement agreement is breached, any statute of limitations for a violation of this chapter or section 2921.42 or 2921.43 of the Revised Code is tolled from the date the complaint or charge is filed until the date the settlement agreement is breached.

Section 102.07

No member, employee, or agent of the Ohio ethics commission, board of commissioners on grievances and discipline of the supreme court, or joint legislative ethics committee shall divulge any information or any books, papers, or documents presented to the commission, joint legislative ethics committee, or board of commissioners on grievances and discipline without the consent, in writing, of the appropriate ethics commission, unless such books, papers, or documents were presented at a public hearing, except as provided in section 102.06 of the Revised Code.

No person shall divulge information that appears on a disclosure statement and is required to be kept confidential under division (B) of section 102.02 of the Revised Code.

Section 102.08*

* See also following version of this section and explanation after that version.

(A)(1) Subject to division (A)(2) of this section, the board of commissioners on grievances and discipline of the supreme court and the house and senate legislative ethics committees may recommend legislation relating to ethics, conflicts of interest, and financial disclosure and shall render advisory opinions with regard to questions concerning these matters for persons for whom it is the appropriate ethics commission. When the appropriate ethics commission renders an advisory opinion relating to a special set of circumstances involving ethics, conflict of interest, or financial disclosure under Chapter 102. or section 2921.42 or 2921.43 of the Revised Code, the person to whom the opinion was directed or who was similarly situated may reasonably rely upon the opinion and shall be immune from criminal prosecutions, civil suits, or actions for removal from his office or position of employment for a violation of Chapter 102. or section 2921.42 or 2921.43 of the Revised Code based on facts and circumstances covered by the opinion, if the opinion states there is no violation of Chapter 102. or section 2921.42 or 2921.43 of the Revised Code. Except as otherwise provided in division (A)(2) of this section, the appropriate ethics commission shall include in every advisory opinion it renders a statement as to whether the set of circumstances described in the opinion constitutes a violation of section 2921.42 or 2921.43 of the Revised Code. The appropriate ethics commission shall provide a continuing program of education and information concerning the provisions of Chapter 102. and sections 2921.42 and 2921.43 of the Revised Code and other provisions of law pertaining to ethics, conflicts of interest, and financial disclosure. As used in division (A) of this section, "appropriate ethics commission" does not include the Ohio ethics commission.

(2) The board of commissioners on grievances and discipline of the supreme court shall issue advisory opinions only in a manner consistent with Rule V of the Supreme Court Rules for the Government of the Bar of Ohio.

(B) The Ohio ethics commission may recommend legislation relating to ethics, conflicts of interest, and financial disclosure and may render advice with regard to questions concerning these matters for persons for whom it is the appropriate ethics commission. When the Ohio ethics commission renders a written formal or staff advisory opinion relating to a special set of circumstances involving ethics, conflict of interest, or financial disclosure under Chapter 102. or section 2921.42 or 2921.43 of the Revised Code, the person to whom the opinion was directed or who was similarly situated may reasonably rely upon the opinion and shall be immune from criminal prosecutions, civil suits, or actions for removal from his office or position of employment for a violation of Chapter 102. or section 2921.42 or 2921.43 of the Revised Code based on facts and circumstances covered by the opinion, if the opinion states there is no violation of Chapter 102. or section 2921.42 or 2921.43 of the Revised Code. The commission shall provide a continuing program of education and information concerning the provisions of Chapter 102. and sections 2921.42 and 2921.43 of the Revised Code and other provisions of law pertaining to ethics, conflicts of interest, and financial disclosure. [Am. Sub. H.B. 285, effective 03-02-94.]

Section 102.08*

* See also preceding version of this section and explanation below.

(A) The Ohio ethics commission, the board of commissioners on grievances and discipline of the supreme court, and the joint legislative ethics committee may recommend legislation relating to ethics, conflicts of interest, and financial disclosure, and render advisory opinions with regard to questions concerning these matters for persons for whom it is the appropriate ethics commission.

(B) When the Ohio ethics commission or the board of commissioners on grievances and discipline of the supreme court renders an advisory opinion relating to a special set of circumstances involving ethics, conflict of interest, or financial disclosure under Chapter 102., section 2921.42, or section 2921.43 of the Revised Code, the person to whom the opinion was directed or who was similarly situated may reasonably rely upon such opinion and shall be immune from criminal prosecutions, civil suits, or actions for removal from his office or position of employment for a violation of Chapter 102., section 2921.42, or section 2921.43 of the Revised Code based on facts and circumstances covered by the opinion, if the opinion states there is no violation of Chapter 102., section 2921.42, or section 2921.43 of the Revised Code.

(C) When the joint legislative ethics committee renders an advisory opinion that has been publicly sought and that relates to a special set of circumstances involving ethics, conflicts of interest, or financial disclosure under Chapter 102. or section 2921.42 or 2921.43 of the Revised Code, the person to whom the opinion was directed or who was similarly situated may reasonable rely upon such opinion and shall be immune from criminal prosecutions, civil suits, or actions for removal from his office or position of employment for a violation of Chapter 102. or section 2921.42 or 2921.43 of the Revised Code based on the facts and circumstances covered by the opinion, if the opinion states that there is no violation of Chapter 102. or section 2921.42 or 2921.43 of the Revised Code. When the joint legislative ethics committee renders an advisory opinion that has been publicly sought, the advisory opinion is a public record available under section 149.43 of the Revised Code.

(D) When the joint legislative ethics committee renders a written opinion that has been privately sought and that relates to a special set of circumstances involving ethics, conflicts of interest, or financial disclosure under Chapter 102. or section 2921.42 or 2921.43 of the Revised Code, the written opinion does not have the legal effect of an advisory opinion issued under division (C) of this section. When the joint legislative ethics committee renders a written opinion that has been privately sought, the written opinion is not a public record available under section 149.43 of the Revised Code. The proceedings of the legislative ethics committee relating to a written opinion that has been privately sought shall be closed to the public and records relating to these proceedings are not public records available under section 149.43 of the Revised Code.

The person to whom a written opinion is issued under this division may request the committee to issue the written opinion as an advisory opinion. Upon receiving such a request and with the approval of a majority of the members of the committee, the committee may issue the written opinion as an advisory opinion. If the committee issues the written opinion as an advisory opinion, the advisory opinion has the same legal effect as an advisory opinion issued under division (C) of this section and is a public record available under section 149.43 of the Revised Code.

(E) The joint legislative ethics committee shall issue an advisory opinion under division (C) of this section or a written opinion under division (D) of this section, whether it is publicly or privately sought, only at a meeting of the committee and only with the approval of a majority of the members of the committee.

(F) The appropriate ethics commission shall provide a continuing program of education and information concerning the provisions of Chapter 102. and sections 2921.42 and 2921.43 of the Revised Code and other provisions of law pertaining to ethics, conflicts of interest, and financial disclosure. [Am. Sub. H.B. 492, effective 05-12-94.]

* R.C. 102.08 was amended by Am. Sub. H.B. 285 (eff. 03-02-94) and Am. Sub. H.B. 492 (eff. 05-12-94). Harmonization pursuant to R.C. 1.52 is in question. Both versions are presented here.

Section 102.09

(A) The secretary of state and the county board of elections shall furnish, to each candidate for elective office who is required to file a financial disclosure statement by section 102.02 of the Revised Code, a financial disclosure form, and shall notify the appropriate ethics commission, within fifteen days of the name of the candidate, and of the subsequent withdrawal, disqualification, or death of the candidate. The candidate shall acknowledge receipt of the financial disclosure form in writing.

(B) The secretary of state and the county board of elections shall furnish to each person who is appointed to fill a vacancy for an unexpired term in an elective office, and who is required to file a financial disclosure statement by section 102.02 of the Revised Code, a financial disclosure form, and shall notify the appropriate ethics commission within fifteen days of being notified by the appointing authority, of the name and position of the public official and the date of appointment. The person shall acknowledge receipt of the financial disclosure form in writing.

(C) The public agency or appointing authority that employs, appoints, or promotes any public official or employee who, as a result of such employment, appointment, or promotion, is required to file a financial disclosure statement by section 102.02 of the Revised Code, shall, within fifteen days of the employment, appointment, or promotion, furnish the public official or employee with a financial

disclosure form, and shall notify the appropriate ethics commission of the name and position of the public official or employee and the date of employment, appointment, or promotion. The public official or employee shall acknowledge receipt of the financial disclosure form in writing.

(D) Within fifteen days after any public official or employee begins the performance of official duties, the public agency with which the official or employee serves or the appointing authority shall furnish the official or employee a copy of Chapter 102. and section 2921.42 of the Revised Code, and may furnish such other materials as the appropriate ethics commission prepares for distribution. The official or employee shall acknowledge their receipt in writing. The requirements of this division do not apply at the time of reappointment or reelection.

Section 102.099

(A) Whoever violates division (C) of section 102.02 or division (C) of section 102.031 of the Revised Code is guilty of a misdemeanor of the fourth degree.

(B) Whoever violates division (D) of section 102.02 or section 102.021, 102.03, 102.04, or 102.07 of the Revised Code is guilty of a misdemeanor of the first degree.

CHAPTER 2921.

Section 2921.01

As used in sections 2921.01 to 2921.45 of the Revised Code:

(A) “Public official” means any elected or appointed officer, or employee, or agent of the state or any political subdivision, whether in a temporary or permanent capacity, and includes, but is not limited to, legislators, judges, and law enforcement officers.

(B) “Public servant” means any of the following:

(1) Any public official;

(2) Any person performing ad hoc a governmental function, including, but not limited to, a juror, member of a temporary commission, master, arbitrator, advisor, or consultant;

(3) A person who is a candidate for public office, whether or not the person is elected or appointed to the office for which the person is a candidate. A person is a candidate for purposes of this division if the person has been nominated according to law for election or appointment to public office, or if the person has filed a petition or petitions as required by law to have the person’s name placed on the ballot in a primary, general, or special election, or if the person campaigns as a write-in candidate in any primary, general, or special election.

(C) “Party official” means any person who holds an elective or appointive post in a political party in the United States or this state, by virtue of which the person directs, conducts, or participates in directing or conducting party affairs at any level of responsibility.

(D) “Official proceeding” means any proceeding before a legislative, judicial, administrative, or other governmental agency or official authorized to take evidence under oath, and includes any proceeding

before a referee, hearing examiner, commissioner, notary, or other person taking testimony or a deposition in connection with an official proceeding.

(E) “Detention” means arrest; confinement in any vehicle subsequent to an arrest; confinement in any public or private facility for custody of persons charged with or convicted of crime in this state or another state or under the laws of the United States or alleged or found to be a delinquent child or unruly child in this state or another state or under the laws of the United States; hospitalization, institutionalization, or confinement in any public or private facility that is ordered pursuant to or under the authority of section 2945.37, 2945.371, 2945.38, 2945.39, 2945.40, 2945.401, or 2945.402 of the Revised Code; confinement in any vehicle for transportation to or from any facility of any of those natures; detention for extradition or deportation; except as provided in this division, supervision by any employee of any facility of any of those natures that is incidental to hospitalization, institutionalization, or confinement in the facility but that occurs outside the facility; supervision by an employee of the department of rehabilitation and correction of a person on any type of release from a state correctional institution; or confinement in any vehicle, airplane, or place while being returned from outside of this state into this state by a private person or entity pursuant to a contract entered into under division (E) of section 311.29 of the Revised Code or division (B) of section 5149.03 of the Revised Code. For a person confined in a county jail who participates in a county jail industry program pursuant to section 5147.30 of the Revised Code, “detention” includes time spent at an assigned work site and going to and from the work site.

(F) “Detention facility” means any public or private place used for the confinement of a person charged with or convicted of any crime in this state or another state or under the laws of the United States or alleged or found to be a delinquent child or unruly child in this state or another state or under the laws of the United States.

(G) “Valuable thing or valuable benefit” includes, but is not limited to, a contribution. This inclusion does not indicate or imply that a contribution was not included in those terms before September 17, 1986.

(H) “Campaign committee,” “contribution,” “political action committee,” “legislative campaign fund,” “political party,” and “political contributing entity” have the same meanings as in section 3517.01 of the Revised Code.

(I) “Provider agreement” and “medical assistance program” have the same meanings as in section 2913.40 of the Revised Code.

Section 2921.42

(A) No public official shall knowingly do any of the following:

(1) Authorize, or employ the authority or influence of the public official’s office to secure authorization of any public contract in which the public official, a member of the public official’s family, or any of the public official’s business associates has an interest;

(2) Authorize, or employ the authority or influence of the public official’s office to secure the investment of public funds in any share, bond, mortgage, or other security, with respect to which the public official, a member of the public official’s family, or any of the public official’s business

associates either has an interest, is an underwriter, or receives any brokerage, origination, or servicing fees;

(3) During the public official's term of office or within one year thereafter, occupy any position of profit in the prosecution of a public contract authorized by the public official or by a legislative body, commission, or board of which the public official was a member at the time of authorization, unless the contract was let by competitive bidding to the lowest and best bidder;

(4) Have an interest in the profits or benefits of a public contract entered into by or for the use of the political subdivision or governmental agency or instrumentality with which the public official is connected;

(5) Have an interest in the profits or benefits of a public contract that is not let by competitive bidding if required by law and that involves more than one hundred fifty dollars.

(B) In the absence of bribery or a purpose to defraud, a public official, member of a public official's family, or any of a public official's business associates shall not be considered as having an interest in a public contract or the investment of public funds, if all of the following apply:

(1) The interest of that person is limited to owning or controlling shares of the corporation, or being a creditor of the corporation or other organization, that is the contractor on the public contract involved, or that is the issuer of the security in which public funds are invested;

(2) The shares owned or controlled by that person do not exceed five per cent of the outstanding shares of the corporation, and the amount due that person as creditor does not exceed five per cent of the total indebtedness of the corporation or other organization;

(3) That person, prior to the time the public contract is entered into, files with the political subdivision or governmental agency or instrumentality involved, an affidavit giving that person's exact status in connection with the corporation or other organization.

(C) This section does not apply to a public contract in which a public official, member of a public official's family, or one of a public official's business associates has an interest, when all of the following apply:

(1) The subject of the public contract is necessary supplies or services for the political subdivision or governmental agency or instrumentality involved;

(2) The supplies or services are unobtainable elsewhere for the same or lower cost, or are being furnished to the political subdivision or governmental agency or instrumentality as part of a continuing course of dealing established prior to the public official's becoming associated with the political subdivision or governmental agency or instrumentality involved;

(3) The treatment accorded the political subdivision or governmental agency or instrumentality is either preferential to or the same as that accorded other customers or clients in similar transactions;

(4) The entire transaction is conducted at arm's length, with full knowledge by the political subdivision or governmental agency or instrumentality involved, of the interest of the public official, member of the public official's family, or business associate, and the public official takes no part in the

deliberations or decision of the political subdivision or governmental agency or instrumentality with respect to the public contract.

(D) Division (A)(4) of this section does not prohibit participation by a public employee in any housing program funded by public moneys if the public employee otherwise qualifies for the program and does not use the authority or influence of the public employee's office or employment to secure benefits from the program and if the moneys are to be used on the primary residence of the public employee. Such participation does not constitute an unlawful interest in a public contract in violation of this section.

(E) Whoever violates this section is guilty of having an unlawful interest in a public contract. Violation of division (A)(1) or (2) of this section is a felony of the fourth degree. Violation of division (A)(3), (4), or (5) of this section is a misdemeanor of the first degree.

(F) It is not a violation of this section for a prosecuting attorney to appoint assistants and employees in accordance with sections 309.06 and 2921.421 of the Revised Code, for a chief legal officer of a municipal corporation or an official designated as prosecutor in a municipal corporation to appoint assistants and employees in accordance with sections 733.621 and 2921.421 of the Revised Code, or for a township law director appointed under section 504.15 of the Revised Code to appoint assistants and employees in accordance with sections 504.151 and 2921.421 of the Revised Code.

(G) This section does not apply to a public contract in which a township trustee in a township with a population of five thousand or less in its unincorporated area, a member of the township trustee's family, or one of the township trustee's business associates has an interest, if all of the following apply:

(1) The subject of the public contract is necessary supplies or services for the township and the amount of the contract is less than five thousand dollars per year;

(2) The supplies or services are being furnished to the township as part of a continuing course of dealing established before the township trustee held that office with the township;

(3) The treatment accorded the township is either preferential to or the same as that accorded other customers or clients in similar transactions;

(4) The entire transaction is conducted with full knowledge by the township of the interest of the township trustee, member of the township trustee's family, or the township trustee's business associate.

(H) Any public contract in which a public official, a member of the public official's family, or any of the public official's business associates has an interest in violation of this section is void and unenforceable. Any contract securing the investment of public funds in which a public official, a member of the public official's family, or any of the public official's business associates has an interest, is an underwriter, or receives any brokerage, origination, or servicing fees and that was entered into in violation of this section is void and unenforceable.

(I) As used in this section:

(1) "Public contract" means any of the following:

(a) The purchase or acquisition, or a contract for the purchase or acquisition, of property or services by or for the use of the state, any of its political subdivisions, or any agency or instrumentality of either, including the employment of an individual by the state, any of its political subdivisions, or any agency or instrumentality of either;

(b) A contract for the design, construction, alteration, repair, or maintenance of any public property.

(2) “Chief legal officer” has the same meaning as in section 733.621 of the Revised Code.

R.C. 2921.421

(A) As used in this section:

(1) “Chief legal officer” has the same meaning as in section 733.621 of the Revised Code.

(2) “Political subdivision” means a county, a municipal corporation, or a township that adopts a limited home rule government under Chapter 504. of the Revised Code.

(B) A prosecuting attorney may appoint assistants and employees, except a member of the family of the prosecuting attorney, in accordance with division (B) of section 309.06 of the Revised Code, a chief legal officer of a municipal corporation or an official designated as prosecutor in a municipal corporation may appoint assistants and employees, except a member of the family of the chief legal officer or official designated as prosecutor, in accordance with section 733.621 of the Revised Code, and a township law director appointed under section 504.15 of the Revised Code may appoint assistants and employees, except a member of the family of the township law director, in accordance with section 504.151 of the Revised Code, if all of the following apply:

(1) The services to be furnished by the appointee or employee are necessary services for the political subdivision or are authorized by the legislative authority, governing board, or other contracting authority of the political subdivision.

(2) The treatment accorded the political subdivision is either preferential to or the same as that accorded other clients or customers of the appointee or employee in similar transactions, or the legislative authority, governing board, or other contracting authority of the political subdivision, in its sole discretion, determines that the compensation and other terms of appointment or employment of the appointee or employee are fair and reasonable to the political subdivision.

(3) The appointment or employment is made after prior written disclosure to the legislative authority, governing board, or other contracting authority of the political subdivision of the business relationship between the prosecuting attorney, the chief legal officer or official designated as prosecutor in a municipal corporation, or the township law director and the appointee or employee thereof. In the case of a municipal corporation, the disclosure may be made or evidenced in an ordinance, resolution, or other document that does either or both of the following:

(a) Authorizes the furnishing of services as required under division (B)(1) of this section;

(b) Determines that the compensation and other terms of appointment or employment of the appointee or employee are fair and reasonable to the political subdivision as required under division (B)(2) of this section.

(4) The prosecuting attorney, the elected chief legal officer, or the township law director does not receive any distributive share or other portion, in whole or in part, of the earnings of the business associate, partner, or employee paid by the political subdivision to the business associate, partner, or employee for services rendered for the political subdivision.

(C) It is not a violation of this section or of section 102.03 or 2921.42 of the Revised Code for the legislative authority, the governing board, or other contracting authority of a political subdivision to engage the services of any firm that practices the profession of law upon the terms approved by the legislative authority, the governing board, or the contracting authority, or to designate any partner, officer, or employee of that firm as a nonelected public official or employee of the political subdivision, whether the public office or position of employment is created by statute, charter, ordinance, resolution, or other legislative or administrative action.

R.C. 2921.43

(A) No public servant shall knowingly solicit or accept, and no person shall knowingly promise or give to a public servant, either of the following:

(1) Any compensation, other than as allowed by divisions (G), (H), and (I) of section 102.03 of the Revised Code or other provisions of law, to perform the public servant's official duties, to perform any other act or service in the public servant's public capacity, for the general performance of the duties of the public servant's public office or public employment, or as a supplement to the public servant's public compensation;

(2) Additional or greater fees or costs than are allowed by law to perform the public servant's official duties.

(B) No public servant for the public servant's own personal or business use, and no person for the person's own personal or business use or for the personal or business use of a public servant or party official, shall solicit or accept anything of value in consideration of either of the following:

(1) Appointing or securing, maintaining, or renewing the appointment of any person to any public office, employment, or agency;

(2) Preferring, or maintaining the status of, any public employee with respect to compensation, duties, placement, location, promotion, or other material aspects of employment.

(C) No person for the benefit of a political party, campaign committee, legislative campaign fund, political action committee, or political contributing entity shall coerce any contribution in consideration of either of the following:

(1) Appointing or securing, maintaining, or renewing the appointment of any person to any public office, employment, or agency;

(2) Preferring, or maintaining the status of, any public employee with respect to compensation, duties, placement, location, promotion, or other material aspects of employment.

(D) Whoever violates this section is guilty of soliciting improper compensation, a misdemeanor of the first degree.

(E) A public servant who is convicted of a violation of this section is disqualified from holding any public office, employment, or position of trust in this state for a period of seven years from the date of conviction.

(F) Divisions (A), (B), and (C) of this section do not prohibit a person from making voluntary contributions to a political party, campaign committee, legislative campaign fund, political action committee, or political contributing entity or prohibit a political party, campaign committee, legislative campaign fund, political action committee, or political contributing entity from accepting voluntary contributions.

FOR MORE INFORMATION, OR ADDITIONAL MATERIALS ON THE OHIO ETHICS LAW, PLEASE CONTACT:

**OHIO ETHICS COMMISSION
8 East Long Street, 10th Floor
Columbus, Ohio 43215-2940
Phone: (614) 466-7090
Fax: (614) 466-8368
www.ethics.ohio.gov**

[Rev. 5/09]



State of Ohio
Office of the Governor
Executive Order 2007 – 01S

Establishing New Ethics Requirements

1. **Limits on Gifts.** The job of the officials and employees of the State of Ohio is to serve the people of Ohio. When those who want contracts or grants or other benefits from the State give gifts or meals or tickets or trips to state officials or employees, the people of Ohio have every right to be suspicious that official government decisions aren't being made based on the merits. Accordingly:
 - a. The only gifts my wife and I, and the Lieutenant Governor and his wife will accept during my time as Governor of Ohio are those given by:
 - i. close family members, or
 - ii. personal friends who are not lobbyists, who have no contracts with the State, and who do not receive grants from the State, or
 - iii. individuals or groups who, on occasion, present one of us an inexpensive, token gift such as a t-shirt, cap, mug or lapel pin as an expression of kindness or friendship, or an inexpensive meal or refreshment worth \$20 or less, or
 - iv. a government official from another state or country as a gesture of friendship to one of us and the people of Ohio, in which case we would accept the gift for the State of Ohio.
 - b. We will not accept any of the gifts listed above unless Ohio's ethics laws permit us to, and any gifts we do accept will be fully reported in the way the law requires.

- c. Members of my Staff, my Cabinet, the State employees in those Cabinet agencies and those employed at or appointed to State of Ohio boards and commissions are directed to follow the same rules about accepting gifts that I will be following. Close family members include parents, children, siblings, spouses and domestic partners. Failure to comply with this Executive Order will result in appropriate discipline.
2. **Ethics Training and Compliance.** Sometimes people don't follow the rules because they don't understand them and sometimes people don't follow the rules because they're trying to get away with something. We need to make it easier for state officials and employees who are trying to follow the rules to do so and we need to work harder to catch those breaking the rules. Accordingly:
- a. Each member of my Cabinet is directed to designate a senior staff person to serve as the Chief Ethics Officer for the agency. The Chief Ethics Officer is responsible for helping those trying to follow the rules do so by making sure that employees can easily get answers to questions about what is permissible and what is not. The Chief Ethics Officer is also responsible for making sure that appropriate Ethics Training is provided to help prevent wrongdoing from occurring.
 - b. My Chief Legal Counsel, in consultation with the Ohio Ethics Commission and the Chief Ethics Officers at the various agencies, will, over the next 60 days, develop an Ethics Education program to provide appropriate Ethics Training to officials and employees of the State and to the employees of and appointees to various State of Ohio boards and commissions. In addition, he will assure that an adequate mechanism exists for anonymous reporting of wrongdoing or apparent wrongdoing and that the Ethics Education program include training on how to access that anonymous reporting system.
 - c. All State officials and employees are directed to report any wrongdoing or apparent wrongdoing by a State official or employee to the Ethics Commission or the Inspector General or through the anonymous reporting system. They are also directed to fully cooperate with any investigation of potential wrongdoing and to seek advice from a Chief Ethics Officer or the Ethics Commission when unsure about the propriety of a contemplated action. Finally, all State officials and employees are strongly urged to make suggestions to their Chief Ethics Officers about how to increase official and employee compliance with Ohio's ethics and conflict of interest laws,

this policy and my expectation that State officials and employees serve the people of Ohio.

- d. No person serving on a board or commission may try to influence any decision by that board or commission on behalf of a client while a member of the board or commission or within two years of leaving that board or commission.
3. **Vendor and Grantee Ethics.** Those who have contracts with the State or who get grants from the State should also play a role in making sure that State officers and employees follow the law and this order. Accordingly:
 - a. My Chief Legal Counsel, in consultation with the Ohio Ethics Commission and the Chief Ethics Officers at the various agencies, will, over the next 60 days, develop a program which requires those doing business with the State of Ohio or receiving grant funds from the State of Ohio to certify, before they can receive any money from the State, that they know and understand Ohio's ethics and conflict of interest laws, are aware of this order, and that they will not do anything inconsistent with those laws or this order.
 - b. Whenever any Cabinet agency or State of Ohio board or commission awards any contract without a competitive bid for the products or services provided by that contract, the reason the contract was awarded without bids must be stated in writing by the agency, board or commission in a document that is available to the public.
 4. **Increasing Access to Government Decisions.** The people of Ohio have a right to witness what occurs at meetings of public bodies. The more accessible those meetings, or recordings of those meetings, are, the more Ohioans will be able to keep an eye on how their business is being handled by State officials and employees. Accordingly, all Cabinet directors are directed to find ways to increase access to public meetings held at their agencies, including finding ways to present them on the Internet live and recorded.
 5. **Improving this Order.** Any requests for clarification of this Executive Order should be conveyed to the Chief Ethics Officers who should discuss them, as needed, with my Chief Legal Counsel. Clarifications may be periodically posted on the State of Ohio website. This Executive Order will be periodically updated as good, new suggestions about increasing ethical compliance come to my attention.

6. I signed this Executive Order on January 8, 2007 in Columbus, Ohio and it will expire on my last day as Governor of Ohio unless rescinded before then.



Ted Strickland
Ted Strickland, Governor

Jennifer Brunner
Jennifer Brunner, Secretary of State

Appendix B: Target area census tracts

NSP2 Region	County	Census Tract ID	Foreclosure Needs Index	Foreclosure with Vacancy Risk Index
Region 1	Allen	39003010800	19	10
Region 1	Allen	39003011200	19	16
Region 1	Allen	39003011300	19	13
Region 1	Allen	39003011500	18	7
Region 1	Allen	39003011900	18	18
Region 1	Allen	39003012200	19	10
Region 1	Allen	39003012300	20	17
Region 1	Allen	39003012400	19	18
Region 1	Allen	39003012500	20	20
Region 1	Allen	39003012600	19	19
Region 1	Allen	39003012700	20	20
Region 1	Allen	39003012800	20	20
Region 1	Allen	39003012900	20	20
Region 1	Allen	39003013000	19	16
Region 1	Allen	39003013200	18	18
Region 1	Allen	39003013300	20	20
Region 1	Allen	39003013400	20	20
Region 1	Allen	39003013600	20	20
Region 1	Allen	39003013700	20	18
Region 1	Allen	39003013800	20	20
Region 1	Hancock	39063000300	19	1
Region 1	Hancock	39063000400	18	12
Region 1	Hancock	39063000800	17	18
Region 1	Hancock	39063000900	18	18
Region 1	Marion	39101000100	20	20
Region 1	Marion	39101000200	20	18
Region 1	Marion	39101000300	19	19
Region 1	Marion	39101000400	18	19
Region 1	Marion	39101000501	19	20
Region 1	Marion	39101000502	16	19
Region 1	Marion	39101000800	18	16
Region 1	Marion	39101000900	19	19
Region 1	Marion	39101001100	18	18
Region 1	Marion	39101010201	18	6
Region 1	Putnam	39137030100	19	13
Region 1	Putnam	39137030200	18	1
Region 1	Putnam	39137030300	18	14
Region 1	Seneca	39147962800	18	18
Region 1	Seneca	39147962900	19	20
Region 1	Seneca	39147963000	17	19
Region 1	Van Wert	39161020200	18	18
Region 1	Van Wert	39161020300	18	1
Region 1	Van Wert	39161020400	18	6
Region 1	Van Wert	39161020600	20	20
Region 1	Van Wert	39161020700	18	18

NSP2 Region	County	Census Tract ID	Foreclosure Needs Index	Foreclosure with Vacancy Risk Index
Region 1	Van Wert	39161020800	18	16
Region 1	Wood	39173020100	18	15
Region 1	Wood	39173020600	19	11
Region 1	Wood	39173020900	18	10
Region 1	Wood	39173021600	18	9
Region 1	Wood	39173022300	18	18
Region 1	Wood	39173022400	18	18
Region 2	Columbiana	39029950500	18	18
Region 2	Columbiana	39029950600	16	18
Region 2	Columbiana	39029950700	18	17
Region 2	Columbiana	39029951500	18	18
Region 2	Columbiana	39029951800	20	20
Region 2	Columbiana	39029951900	19	18
Region 2	Columbiana	39029952000	16	19
Region 2	Columbiana	39029952100	19	20
Region 2	Columbiana	39029952200	20	20
Region 2	Columbiana	39029952300	18	19
Region 2	Harrison	39067975600	15	19
Region 2	Harrison	39067975800	14	19
Region 2	Jefferson	39081000200	20	19
Region 2	Jefferson	39081000400	18	20
Region 2	Jefferson	39081000700	18	15
Region 2	Jefferson	39081000800	19	20
Region 2	Jefferson	39081011200	18	16
Region 2	Jefferson	39081011800	17	18
Region 2	Jefferson	39081012300	15	18
Region 2	Medina	39103408000	18	13
Region 2	Medina	39103408200	19	13
Region 2	Medina	39103408302	18	10
Region 2	Medina	39103411002	18	19
Region 2	Medina	39103417000	18	9
Region 2	Portage	39133600301	18	15
Region 2	Portage	39133600603	18	20
Region 2	Portage	39133600901	18	19
Region 2	Portage	39133601000	15	18
Region 2	Portage	39133601702	18	12
Region 2	Portage	39133602100	18	9
Region 3	Belmont	39013010100	15	18
Region 3	Belmont	39013011700	14	19
Region 3	Belmont	39013011900	15	18
Region 3	Belmont	39013012000	15	18
Region 3	Coshocton	39031990900	18	1
Region 3	Coshocton	39031991200	18	1
Region 3	Coshocton	39031991300	19	12
Region 3	Coshocton	39031991400	20	15

NSP2 Region	County	Census Tract ID	Foreclosure Needs Index	Foreclosure with Vacancy Risk Index
Region 3	Coshocton	39031991500	20	19
Region 3	Coshocton	39031991800	18	13
Region 3	Crawford	39033974400	19	18
Region 3	Crawford	39033974500	18	19
Region 3	Crawford	39033974600	19	17
Region 3	Crawford	39033974900	18	18
Region 3	Crawford	39033975100	19	20
Region 3	Crawford	39033975200	18	18
Region 3	Crawford	39033975300	18	18
Region 3	Guernsey	39059977300	18	18
Region 3	Guernsey	39059977500	18	19
Region 3	Guernsey	39059977600	18	18
Region 3	Guernsey	39059977900	19	12
Region 3	Morgan	39115968800	18	1
Region 3	Morgan	39115969000	18	4
Region 3	Morgan	39115969100	18	9
Region 3	Morrow	39117985200	15	18
Region 3	Morrow	39117985500	18	5
Region 3	Muskingum	39119981000	18	1
Region 3	Muskingum	39119981200	18	5
Region 3	Muskingum	39119981400	20	20
Region 3	Muskingum	39119981700	18	18
Region 3	Muskingum	39119981800	18	19
Region 3	Muskingum	39119981900	19	18
Region 3	Muskingum	39119982000	19	16
Region 3	Muskingum	39119982100	19	19
Region 3	Muskingum	39119982200	19	18
Region 3	Muskingum	39119982300	20	17
Region 3	Muskingum	39119982400	19	8
Region 3	Muskingum	39119982500	19	12
Region 4	Fairfield	39045030600	20	10
Region 4	Fairfield	39045032000	14	18
Region 4	Fairfield	39045032700	19	9
Region 4	Fairfield	39045032900	18	1
Region 4	Licking	39089750100	16	18
Region 4	Licking	39089750400	18	17
Region 4	Licking	39089752500	18	16
Region 4	Licking	39089754100	18	13
Region 4	Licking	39089756200	19	10
Region 4	Licking	39089756800	18	1
Region 4	Perry	39127966000	19	12
Region 4	Perry	39127966200	19	14
Region 4	Ross	39141955800	18	10
Region 4	Ross	39141956300	15	19
Region 4	Ross	39141956400	18	20

NSP2 Region	County	Census Tract ID	Foreclosure Needs Index	Foreclosure with Vacancy Risk Index
Region 4	Ross	39141956500	17	19
Region 5	Darke	39037510100	19	18
Region 5	Darke	39037555101	18	18
Region 5	Darke	39037555102	18	19
Region 5	Darke	39037560100	19	16
Region 6	Adams	39001990100	18	15
Region 6	Adams	39001990600	18	20
Region 6	Brown	39015951200	19	15
Region 6	Brown	39015951300	18	13
Region 6	Brown	39015951400	17	18
Region 6	Brown	39015951500	17	18
Region 6	Brown	39015951700	16	19
Region 6	Clinton	39027994300	17	19
Region 6	Clinton	39027994600	16	18
Region 6	Clinton	39027994900	18	17
Region 6	Fayette	39047985800	20	7
Region 6	Fayette	39047985900	20	14
Region 6	Fayette	39047986000	19	13
Region 6	Fayette	39047986100	20	16
Region 6	Fayette	39047986200	20	13
Region 6	Fayette	39047986300	20	15
Region 6	Highland	39071954400	18	19
Region 6	Highland	39071954500	19	19
Region 6	Highland	39071954600	18	17
Region 6	Highland	39071954700	18	17
Region 6	Highland	39071954800	18	17
Region 6	Highland	39071954900	18	18
Region 6	Highland	39071955000	18	20
Region 6	Highland	39071955200	16	18
Region 7	Meigs	39105964400	19	19
Region 7	Meigs	39105964500	19	19
Region 7	Pike	39131952200	18	1
Region 7	Pike	39131952600	18	9
Region 7	Scioto	39145993100	18	15
Region 7	Scioto	39145993200	19	17
Region 7	Scioto	39145993400	18	16
Region 7	Scioto	39145993500	18	18
Region 7	Scioto	39145993600	19	17
Region 7	Scioto	39145993900	18	16
Region 7	Vinton	39163953100	18	13
Region 7	Vinton	39163953200	18	1

Appendix C. Definitions

DEFINITIONS AND DESCRIPTIONS FOR NSP 2

1. Blighted Structure

Ohio Revised Code Section 1.08 (Blighted Area Defined – Excluded Consideration) defines blighted area/parcel/structure as follows:

(A) “Blighted area” and “slum” mean an area in which at least seventy percent of the parcels are blighted parcels and those blighted parcels substantially impair or arrest the sound growth of the state or a political subdivision of the state, retard the provision of housing accommodations, constitute an economic or social liability, or are a menace to the public health, safety, morals, or welfare in their present condition and use.

(B) “Blighted parcel” means either of the following:

(1) A parcel that has one or more of the following conditions:

- (a) A structure that is dilapidated, unsanitary, unsafe, or vermin infested and that because of its condition has been designated by an agency that is responsible for the enforcement of housing, building, or fire codes as unfit for human habitation or use*;
- (b) The property poses a direct threat to public health or safety in its present condition by reason of environmentally hazardous conditions, solid waste pollution, or contamination;
- (c) Tax or special assessment delinquencies exceeding the fair value of the land that remains unpaid thirty-five days after notice to pay has been mailed.

* In jurisdictions without an agency that is responsible for the enforcement of housing, building or fire codes, “blighted” as defined above must be determined by a qualified rehabilitation specialist or local code enforcement officer.

(2) A parcel that has two or more of the following conditions that, collectively considered, adversely affect surrounding or community property values or entail land use relationships that cannot reasonably be corrected through existing zoning codes or other land use regulations:

- (a) Dilapidation and deterioration;
- (b) Age and obsolescence;
- (c) Inadequate provision for ventilation, light, air, sanitation, or open spaces;
- (d) Unsafe and unsanitary conditions;
- (e) Hazards that endanger lives or properties by fire or other causes;
- (f) Noncompliance with building, housing, or other codes;
- (g) Nonworking or disconnected utilities;
- (h) Is vacant or contains an abandoned structure;

- (i) Excessive dwelling unit density;
 - (j) Is located in an area of defective or inadequate street layout;
 - (k) Overcrowding of buildings on the land;
 - (l) Faulty lot layout in relation to size, adequacy, accessibility, or usefulness;
 - (m) Vermin infestation;
 - (n) Extensive damage or destruction caused by a major disaster when the damage has not been remediated within a reasonable time;
 - (o) Identified hazards to health and safety that are conducive to ill health, transmission of disease, juvenile delinquency, or crime;
 - (p) Ownership or multiple ownership of a single parcel when the owner, or a majority of the owners of a parcel in the case of multiple ownership, cannot be located.
- (C) When determining whether a property is a blighted parcel or whether an area is a blighted area or slum for the purposes of this section, no person shall consider whether there is a comparatively better use for any premises, property, structure, area, or portion of an area, or whether the property could generate more tax revenues if put to another use.
- (D) (1) Notwithstanding any other provision of this section, absent any environmental or public health hazard that cannot be corrected under its current use or ownership, a property is not a blighted parcel because of any condition listed in division (B) of this section if the condition is consistent with conditions that are normally incident to generally accepted agricultural practices and the land is used for agricultural purposes as defined in section 303.01 or 519.01 of the Revised Code, or the county auditor of the county in which the land is located has determined under section 5713.31 of the Revised Code that the land is "land devoted exclusively to agricultural use" as defined in section 5713.30 of the Revised Code.
- (2) A property that under division (D)(1) of this section is not a blighted parcel shall not be included in a blighted area or slum.

2. Affordable Rents

NSP-assisted rental units must be affordable to households with incomes at or below 50 percent of the area median income, adjusted for family size and county. Owners of rental projects assisted with NSP2 funds must use the HOME rents, with the exception of projects undertaken with Low Income Housing tax Credits. In this case, the owners must calculate affordable rents using the definition of affordable rents for the Low-Income Housing Tax Credit (LIHTC) Program (Section 42(g) of the Internal Revenue Code).

Appendix D. Housing standards

Housing Standards

a. New Construction Standards

For all new construction projects, Ohio NSP recipients must comply with the Housing Handbook part II – 2008 Residential Rehabilitation Standards (RRS), which is posted on <http://www.development.ohio.gov/cdd/ohcp/publications.htm> which also includes, by reference, the standard codes required by state law in the State of Ohio for all residential new construction, including the following:

Residential Code of Ohio
Ohio Plumbing Code
Ohio Mechanical Code
National Electric Code
International Energy Conservation Code
International Fuel Gas Code

In addition, all new construction projects completed under NSP2 will be required to follow the Green Building Standards for New Construction, included following this narrative.

b. Demolition Standard

For all demolition projects completed with NSP2 funds, the demolition standard for deconstruction, which is included following this section of the appendix, shall be followed.

c. Rehabilitation Standards

For all rehabilitation projects, Ohio NSP award recipients must comply with ODOD Housing Handbook Part II – 2008 Residential Rehabilitation Standards (RRS), which is posted on <http://www.development.ohio.gov/cdd/ohcp/publications.htm>. In addition, all rehabilitation projects completed under NSP2 will be required to follow the Green Building Standards for either moderate rehabilitation or gut rehabilitation, as appropriate. These standards are included following this narrative. Also, for housing rehabilitation of pre-1978 structures, Ohio NSP award recipients must comply with applicable state and federal laws, rules and regulations governing the testing and treatment of lead-based paint, including disclosures to residents/buyers; and the ODOD lead-based paint policy included in the FY 2008 Ohio Consolidated Plan, which is also posted on

<http://www.development.ohio.gov/cdd/ohcp/publications.htm>.

The Residential Rehabilitation Standards include a large number of green building standards: A few categories of green building standards which are included, along with examples of specific standards that apply are cited below:

Making houses more energy efficient:

Example of standard: 3.4.8 - Use of 90+% Efficiency Furnaces: When a new gas-fired, forced air furnace is to be installed, the furnace **shall** have a minimum efficiency rating of 90%. The new furnace **shall** be of a two-pipe design, drawing all air for combustion from outside.

Example of standard: 2.5.2.2 - Attic air sealing: The building envelope separating the conditioned living space from the unconditioned attic space **should** be properly air sealed as outlined in RRS 2.8.1. All attics without any existing insulation **shall** be air sealed prior to installing insulation. All attic access doors **should** be weather stripped air tight. Where there is evidence of too much heat and moisture in the attic, such as mold, water staining, premature deterioration of shingles, etc. air sealing **shall** be done.

Example of standard: 2.6.5 - All accessible attic floors (open joist cavities) **shall** be insulated to R-38 (see air sealing requirements at 2.5.2). Ceilings located between conditioned and unconditioned spaces in existing dwellings **should** be insulated as close as possible to the following standards.

LOCATION	INSULATION VALUE	TYPE OF INSULATION
Open Joist Cavities (floor, collar beam & drop soffit areas)	R-38	All Types
Enclosed Joist Cavities, or Enclosed Rafter Cavities, or Enclosed Kneewall Cavities/floors	3.25 to 3.75 lbs/cu.ft. or 1.6 lbs/cu.ft.	Blown Cellulose or Blown Mineral/Glass
Open Kneewall Cavities, or drop soffit walls	R-13 to R-19	Batt
Access Hatch Covers	R-38	Batt or Rigid Board
Access Doors	R-13 to R-19	Batt or Rigid Board
Kneewall Flats	R-38	All Types
Slopes	3.25 to 3.75 lbs/cu.ft. 1.6 lbs/cu.ft.	Blown Cellulose Blown Mineral/Glass

Ceilings located between conditioned and unconditioned spaces in new construction and room additions **shall** be insulated in accordance with *the IECC*. Ceiling insulation **shall** be installed according to the manufacturer's installation instructions and the IECC. The insulation **shall** be installed to provide complete and uniform coverage. Voids or gaps in the insulation (particularly batt insulation) or areas with shallow amounts of insulation **shall not** be allowed. In addition, ceiling insulation **shall** be installed according to the following practices:

- a. Items stored in the attic **shall** be removed during the insulation process. Covering items with insulation **shall not** be allowed.

- b. Electrical junction boxes in attics with no existing insulation **shall** be flagged above the level of the new insulation so that they can be easily located.
- c. Heat producing devices **shall** be blocked off to prevent contact with the insulation. For example, blocking shall be installed around ventilation fans, non-IC rated recessed light fixtures and active chimneys and metal flues. Exhaust vents shall conform to *the RRS Section 2.6.5*.
- d. Horizontal attic accesses **shall** be blocked off or dammed around with rigid materials to prevent insulation from entering the access opening. The dam **shall** be constructed of materials capable of supporting the weight of an adult and extend above the level of the insulation.
- e. Attic access doors and stairwells **should** be insulated.
- f. Baffles or chutes **shall** be installed to prevent insulation from contacting the roof deck or blocking eave/cornice vents.

Improving air quality

Example of standard: 2.6.4 - Mechanical ventilation to the outside of the structure **shall** be installed for all bathrooms and other rooms or areas that contain a bathtub and/or shower. If no openable window exists in the kitchen, or if it is required by code, then mechanical ventilation **shall** be installed. Otherwise mechanical ventilation **should** be installed in the kitchen. All clothes drying appliances **shall** be properly vented. Existing kitchen, bath and dryer exhaust fans that are undampened **shall** be fitted with a damper (or replaced with a dampened exhaust fan) so that the exhaust opening is closed when the fan is not operating.

Kitchen range exhaust fans and clothes dryer vents **shall** be connected to smooth-walled non-combustible duct running the most direct, shortest feasible route through the structure directly to the outside air. Ducts made of combustible material, ribbed ducts, sagging ducts or ducts that terminate in the vicinity of a crawlspace or roof vent or that exit within three feet of the building's eaves **shall not** be allowed. Exhaust duct sections **shall** be securely fastened together (without screws) and securely supported to prevent disconnection, sealed and, where in unconditioned spaces, insulated, to prevent air leakage and condensation.

Bathroom exhaust fans **shall** be connected to approved smooth-walled duct running the shortest feasible route through the structure directly to the outside. Sagging ducts, ducts that terminate in an attic or in the vicinity of a roof vent or that exit within three feet of the building's eaves **shall not** be allowed. Exhaust duct sections **shall** be securely fastened together and securely supported to prevent disconnection, sealed and, where in unconditioned spaces, insulated to prevent air leakage and condensation.

Mechanical ventilation devices **shall** be installed in accordance with the manufacturer's installation instructions. Existing dryer exhaust vents and range hoods **shall** conform to the RCO Sections 1501 and 1502. Existing bathroom mechanical ventilation systems **shall** conform to the RCO Sections 303.3 and 1506.

Newly installed bathroom exhaust fans **shall** be able to move enough air for 8 air changes per hour. A formula to use in sizing an intermittent bathroom exhaust fan is $\text{cfm} = \text{volume of the room in cubic feet} / 7.5$. This will give you the minimum size for the exhaust fan in cubic feet per minute of air moved (cfm). All replacement or new exhaust fans **shall** be a maximum of 2.5 sones. The fan should be installed in a manner that will encourage the occupants to use it and to leave it on long enough to be effective, for 20 minutes to an hour after showering. Some suggested methodologies are listed below:

- Put the fan on a humidistat so that it automatically goes on when moisture levels in the room are high (Since fans are designed to eliminate moisture, this is a very straightforward approach).
- Put the fan on the same switch as the light or on a motion sensor and add a delayed fan shut-off so that the fan stays on after the light is switched off or the person leaves the room.
- This final option only works if the client uses it, so is less desirable, but can possibly work with some client education. Put the fan on an electronic timer (not a loud mechanical timer), and teach the clients to always turn it on.

Example of standard: 6.7.2 Indoor Air Quality: The dwelling **shall** be free of known pollutants that exist at levels which threaten the health of the occupants.

Commentary: Any home (old or new) can have indoor air quality (IAQ) problems. Though diagnosing an IAQ problem can be difficult, the health benefits gained from correcting it can be substantial. Therefore, when an IAQ problem is suspected, the cause must be investigated so that measures designed to correct or mitigate the problem can be built into the rehabilitation scope of work. At a minimum, OHCP recommends that further actions be taken where any of the following conditions exist:

- a. Where the condition, type or location of the fuel-burning equipment or the vent system can allow carbon monoxide (CO) and other combustion by-products to enter the home. Examples of such conditions include; use of unvented appliances, a cracked heat exchanger, leaks in the vent system, a plugged vent or chimney flue, back-drafting due to inadequate draft or competition between appliances located in confined spaces.
- b. Where unsealed forced-air heating system return ducts pass through areas which may draw moisture, CO or other pollutants into the home.
- c. Where excessive moisture, mold or mildew is present.
- d. Where the lack of plumbing vents or traps allow sewer gas to enter the home.

However, some conditions are less obvious. In fact, some conditions may not become problems until after the rehabilitation is completed.

Rehabilitation can exacerbate a latent IAQ problem because the balance between the structure, the mechanical systems and the occupant's use of the home was changed. For example, a home can develop a moisture problem (and mold growth)

because the amount of uncontrolled air movement has been significantly reduced, but the source of the moisture problem was not identified and corrected.

Some IAQ problems can result from the materials installed during rehabilitation. For example, new floor coverings, paint, adhesive, etc. will “out gas” volatile organic compounds (VOCs). Though the IAQ should only be temporarily affected, some occupants may suffer adverse symptoms.

Some IAQ problems can result from the occupant’s behavior. For example, occupants may not use the ventilation fans when bathing or cooking, or they may have behaviors that produce high levels of air-borne pollutants (e.g. smoking, using portable kerosene heaters, etc.). OHCP recommends that grantees educate occupants about the IAQ problems their behavior may cause. In addition, to provide an early warning against CO poisoning, OHCP requires the installation of a CO detector, which must be approved by an independent laboratory, receive their primary power from the buildings electrical wiring and be installed according to the manufacturer’s installation instructions.

Making the house more moisture resistant

Example of standard: 2.1.7.1 - Moisture and air Barrier/vapor retarder: A vapor retarder such as 6 mil polyethylene **shall** be installed in each crawlspace and basement without a concrete floor. This vapor retarder **should** be without voids or gaps, and **should** overlap a minimum of 6” at the foundation wall and seams. To also act as a moisture and air barrier in the case of an enclosed conditioned crawlspace or basement, all edges, gaps and seams **shall** be sealed with an appropriate tape or sealant. Prior to installing a moisture barrier/vapor retarder, all rubbish **shall** be removed to help ensure complete coverage and to reduce the amount of moisture trapping items.

Example of standard: 2.2.6 - Flooring in kitchens and baths: Replacement floor covering materials for kitchens, bathrooms, above grade laundry/utility rooms and other rooms with plumbing fixtures **should** be water resistant.

Example of standard: 2.5.4.1 - General requirements: Roof coverings **shall** provide a waterproof barrier protecting the roof/ceiling structural system and the interior building surfaces from moisture damage. Roof coverings; including valley flashing and flashing against walls, chimneys, stacks and pipes **shall** be watertight, durable and free from excessive wear and obvious defects in materials and workmanship. Problems such as evidence of severe deterioration (e.g. curled/cracked asphalt shingles, severely corroded metal or moss growth), missing, loose or ineffective or inappropriate materials **shall** be corrected.

Example of standard: 6.1.3 – Drainage: The premises near the house **should** be free from large or deep depressions that routinely collect stagnant water, and free from improper grading or settling that causes erosion or the potential for infiltration of water into the house. All drainage problems **should** be addressed including proper grading; the addition of fill and topsoil, as needed; and proper seeding, as necessary, to prevent further erosion and to provide for a usable ground covering. Also see RRS 2.1.6, foundation perimeter drainage and moisture control. Surface drainage, **should** be diverted to a storm sewer conveyance or other approved point of collection to not

create a hazard. New lots **shall** be graded to drain surface water away from foundation walls.

Making the house more durable

Example of standard: 2.1.5.2 - Foundation openings: Foundation openings such as windows and old coal chutes that are not necessary for light, ventilation, or egress as described in the ORC, Section 303, Section R408 & RRS 6.6.1) **shall** be free from safety hazards (peeling lead-based paint, broken glass, etc.); deterioration (rotted wood, rusted through, etc); and unwanted air and moisture infiltration; and they **shall** provide for adequate security. They **shall** be replaced, repaired, or sealed up (using appropriate materials, such as concrete blocks); whichever is most cost effective.

Example of standard: 2.3.5 – Exterior Wall Coverings: Exterior wall coverings, including siding, window and door trim, eaves, soffits, brick or stone veneer, etc., **shall** be structurally sound, secure and weather tight without broken, missing or deteriorated surfaces. Exposed bare wood or other exposed wall covering and trim materials (including the window and door trim, eaves, soffits, rake board, etc.) which are subject to decay, **shall** be primed and painted or covered with a durable weather-resistant material. New untreated wood **should** be primed on all six sides prior to installation. Where paint or stain is used as the protective coating, it **shall** be applied as directed by the manufacturer. Mortar joints that are in a deteriorated condition **should** be repaired (See the National Park Services Preservation Brief on “Repointing Mortar Joints” for useful information on developing specifications for this purpose.) Masonry that is in very poor condition, with mortar joints that are in a severely deteriorated condition and/or missing bricks, stones, etc. **shall** be repaired or replaced. Replacement exterior wall covering materials **shall** be installed to conform to *RCO Sections 701 and 703 and the manufacturer’s installation instructions*. Wall covering and trim materials that are in adequate condition (i. e., the surface and finish are consistent and are not deteriorated); are not required to be replaced for another reason outlined somewhere in the RRS; and do not present a lead-based paint hazard; **shall not** be covered or replaced with a new material. When minor deterioration exists, grantees **should** repair only the deteriorated areas rather than replacing the entire exterior wall covering. All exterior surfaces **shall** be free of lead-based paint hazards as outlined in the *RRS, Chapter 7*.

Using recycled materials and other Green building Guidelines

Example of standard: 2.11 - Green Building: All newly constructed dwellings **should** use green building (conservation minded) materials, methods, technology and design, where practical. All existing homes being rehabilitated **should** consider alternative approaches that use green building materials, methods, technology, and/or design when replacing systems or structural elements, where it is practical.

Commentary: Green building is the building of houses that are healthy for the occupants, and that help to protect the earth and to conserve the earth’s resources. As environmental concerns continue to mount worldwide, integrating more sustainable practices and products into our projects becomes increasingly important. Buildings consume very large quantities of the earth’s resources in their construction and daily operation. Following are five principles of sustainability that may be helpful to potentially integrate into your construction practices.

1. Optimize use of the sun and wind:

- a. Design and orient the house and/or windows to minimize summer afternoon solar heat gain and to optimize winter solar heat gain. Wide overhangs, special coatings on the windows, and consideration of house and window placement are all examples that can be incorporated into your projects.
- b. Situate the house to take into consideration the prevailing breezes and winds at various time of the year.
- c. Plant shade trees and shrubs around the house to provide shade in the summer. This also releases oxygen into the atmosphere and has other beneficial environmental impacts. Only limited landscaping can be done. See the RRS, Chapter 6 for more details.

2. Improving indoor air quality:

Indoor pollutants range from toxins found in building materials, such as formaldehyde and lead to allergens such as mold, bacteria, dust mites, and fungus. These pollutants may cause health problems for the occupants. Here are some measures that can be taken to improve indoor air quality.

- a. Select materials that limit out-gassing of volatile organic compounds, have no toxic properties, and do not shed fiber or dust.
- b. Seal off the garage from the house, or take other steps to eliminate fumes from cars and lawn mowers, such as installing an exhaust fan in the garage.
- c. Choose ventilation systems that remove dirt, dust, moisture, humidity, and pollutants.
- d. Eliminate moisture sources that produce mold, mildew, and fungus.
- e. Install exhaust fans in the kitchen and bathrooms to remove gases like carbon monoxide and water vapor that can cause molds to grow.
- f. Use water-based paints, finishes, and sealants. Some milk-based paints are also available.
- g. Select solid woods for cabinetry, trim, and other solid surfaces, rather than pressed woods or composites that may contain formaldehyde or other toxic chemicals.

3. Use the land responsibly:

- a. Purchase lots located close to public transportation and community services.
- b. Cluster houses together on smaller lots to conserve open space.
- c. Limit the use of impervious surfaces to reduce storm water runoff and contamination of local water sources.

4. Create high performance and moisture resistant houses:

- a. Create a building envelope with more durable and energy efficient materials
- b. Seal cracks and gaps in the building envelope to reduce drafts, keep moisture out, and keep conditioned air in.

- c. Balance room temperatures to make occupants more comfortable at more moderate temperatures.
- d. Increase insulation to decrease energy usage and lower utility costs.
- e. Follow energy star guidelines in the construction or rehabilitation of a house and in the selection of appliances, lighting options, etc.

5. Wisely use the earth's natural resources:

The earth has a finite amount of natural resources, and it is our responsibility to make them last. It is also up to us to use these resources in a way that is not detrimental to the environment or our health. Selecting green materials typically involves an assessment of a product's environmental impact over its life cycle. This process tracks the raw materials used to make a product, its manufacturing process, its transportation, its performance when it is used, and its disposal, reuse, or recycling options. When choosing materials and products look for;

- a. High levels of renewability, reusability, and durability.
- b. Low levels of embodied energy (the energy required to extract, process, and transport materials).
- c. Low levels of environmental impact, the negative effects on outdoor and indoor environments.
- d. Repair leaky faucets and install low-flow showerheads and faucets.
- e. Choose carpeting and other textiles made from natural fibers, such as cotton or wool, which are untreated and free of toxins such as pesticides or chemical cleaners.
- f. Use flooring, cabinets and other hard surface component products made from rapidly renewable or sustainable resources, such as agricultural waste composite board, bamboo or cork.
- g. Reuse materials such as brick, stone, glass, tile, wood or metal.
- h. Replace old appliances that are not energy efficient.
- i. Buy locally produced products and materials whenever possible to reduce additional energy use and pollution associated with transportation.
- j. Eliminate waste by choosing products that are biodegradable or recyclable.
- k. Find uses for construction waste, such as shredding wood scraps for mulch.
- l. Use certified wood harvested from sustainable managed forests.

Conservation of water

Example of standard: 5.3.2 – Construction and installation of fixtures: Fixtures shall conform to the following guidelines in terms of how they are constructed and installed:

- a. All Replacement plumbing fixtures **shall** comply with the ASSE/ANSI standards listed in reference to the RCO and the OPC, plumbing fixtures.
- b. All replacement water closets **shall** be water conserving low consumption (not to exceed 1.6 gallons per flush) and **shall** conform to the *OPC, Section 420.1 and 420.3.*

- c. All replacement sink faucets **shall** be that of a water conserving type which deliver a maximum flow rate of 2.2 g.p.m. at 60 psi, and in compliance with the *OPC, Section 424.1*
- d. All replacement bathtub and shower fixtures **shall** use anti-scald control valves. The control valves of the pressure balancing, thermo-static mixing or the combination pressure balancing/ thermostatic mixing valve types **shall** be controlled and designed to limit water temperature change to a maximum setting of 120 degrees F in compliance with the *OPC Section 424*. Access panels **should** be provided to these valves.
- e. All fixtures **shall** be rigidly supported and securely attached in a manner consistent with normal installation procedures, installed level, and conform to the *OPC, Section 405*.
- f. All faucets **shall** have the hot water connected to the left side of the faucet being installed according to the *OPC, Section 607.4*. Existing supply lines that are reversed **shall** be changed.
- g. All trap sizes **shall** not be less than 1 ½ inches i.d. (inside diameter) for showers, kitchen sinks, dishwashers, laundry tubs, and bathtubs; not less than 1 1/4 inches i.d. for lavatories and not less than 2" i.d. for washing machines in compliance with the *OPC, Table 709.1*.
- h. All plumbing fixtures other than toilets **shall** be provided with approved strainers in conformity with the *OPC, Section 304.2*.
- i. If a garbage disposal is present, it **should** be in good working order. If not it **should** be removed, repaired or replaced.
- j. Water softener equipment, if present, **shall** be in operable condition and free from leaks or possible contamination through back flow of sewer or other sources and **shall** be properly discharged. If not, it **shall** be removed, repaired or replaced. New equipment **shall** be installed in accordance with the manufacturers' instructions.
- k. All plumbing fixtures and plumbing appliances **shall** be free of leaks or **shall** be repaired or removed. It is the responsibility of the owner to maintain their appliances in working order.
- l. Water heaters **shall** be in good functional condition and properly installed. See *the RRS Section 3.8*. For pan requirements refer to the *OPC 504.7*.

Commentary: Conserving water is in the best financial interests of the occupants over the long run as well as in the interest of society and the environment as a whole. Therefore, OHCP encourages the use of water and energy conserving fixtures and equipment whenever it is practical.

Exceptions to the Above Rehabilitation Standards:

- If local housing codes are more stringent than the RRS, Ohio NSP award recipients must comply with the local housing code standard.
- If the Ohio NSP award recipient is currently a HUD Community Development Block Grant (CDBG) Program Entitlement Community and/or a HOME Investment Partnerships Program Participating Jurisdiction and is administering a housing rehabilitation program funded through the CDBG/HOME Programs, the Ohio NSP award recipient may use either the locally adopted standards or the RRS when implementing the Ohio NSP locally. However, if the local standards will be used to implement the Ohio NSP, the Ohio NSP award recipient must submit a copy of the standards to ODOD.

Ohio Green Standards for New Construction

The intent of the green building standards and requirements to which each newly constructed dwelling **shall** comply, is to promote the building of energy efficient and conservation minded housing by using sustainable practices and products. Implementing the green building standards and supporting the redevelopment of existing blighted properties, will conserve Ohio's valuable landscapes while providing healthy housing for the occupants.

The use of green building materials reduces construction debris and improves air quality. Many factors can be considered when selecting building materials, including cost. However, green building materials should have all, or most, of the following features: low toxicity, low or no emissions, recycled content, recyclable, sustainable, durable, moisture-resistant, energy efficient and water conserving.

All newly constructed dwellings **shall** use the green building standards. In addition new dwellings constructed **shall** conform to local code requirements and to all applicable codes within the RRS. Newly constructed dwellings also **shall** conform to the requirements of all applicable chapters and sections of the most recent adopted versions of the following codes:

- *Residential Code of Ohio*
- *Ohio Plumbing Code*
- *Ohio Mechanical Code*
- *National Electric Code (NFPA 70)*
- *International Energy Conservation Code*
- *International Fuel Gas Code*

General Requirements

The green building standards are vital in providing healthy and sustainable housing in the State of Ohio. The standards were compiled based on Ohio's specific housing demographics and needs, and in consultation of the following nationally recognized rating criteria: Enterprise Community Partners' Green Communities Initiative, National Association of Home Builders' Model Green Home Building Guidelines, U.S. Department of Housing and Urban Development' Building Energy Star Qualified Dwellings, U.S. Environmental Protection Agency' Best Management Practices and the U.S. Green Building Council' Leadership in Energy and Environmental Design. To be effective the green building standards **shall**:

- Create high performance and moisture resistant dwellings
- Improve indoor air quality
- Optimize the use of renewable energy
- Increase water conservation
- Preserve natural resources by using the land responsibly
- Inform occupants about their new sustainable features and practices

1.) Sustainable Site Design

1.1 Development Plan

Each newly constructed dwelling **should** provide a development plan including a site and building plan, a map of the surrounding neighborhood, and an explanation on how this development will integrate with the character of the surrounding neighborhood.

1.2 Protecting Environmental Resources

Each newly constructed dwelling **should** conserve natural resources, as possible. An effort **should** be made to restore and/or enhance natural vegetation that is cleared during construction.

1.3 Solar Heating / Cooling Orientation

The developer **should** construct dwellings with an orientation designed to optimize solar energy.

1.4 Reduce Heat-Island Effect: Landscaping

The developer **shall** select native trees and plants appropriate to the site's soil and microclimate (i.e. drought tolerant plants), and **shall not** include invasive plants. The vegetation **should** create climate control for the site (i.e. shading in the summer and windbreaks in the winter). Vegetation designs can also serve as buffers, fencing or privacy screens on the site. In addition, newly constructed dwellings **shall** conform to local code landscaping standards.

1.5 Storm water Management

Newly constructed dwellings **should** have overhangs and canopies over exterior walls and windows; providing a covered entry (i.e. awning, covered porch) at exterior doors to prevent water intrusion and subsequent rotting of joists, sills and finishes, and to enhance shading of the dwelling. The installation of drip edge at eave and gable roof edges is also recommended. The developer **shall** use effective site drainage and grading to keep water from the dwelling's foundation. Consideration may be given to a rainwater harvesting system which captures, retains, infiltrates and/or harvests the first ½ inch of rainfall in a 24-hour period. For the prevention of groundwater intrusion, newly constructed dwellings **shall** have sub-grade perimeter drains for basements, crawlspaces and slabs; and the provision of a capillary break by damp proofing the exterior basement walls. Interior basements **shall** be insulated with foam board only. Exterior drainage to remove water resulting from gutters and downspouts **should** also be provided.

1.6 Environmental Review

The developer **shall** conduct a Phase I Environmental Site Assessment and provide a plan for the abatement of hazardous materials, if required.

1.7 Erosion, Soil and Slope Disturbance

The developer **shall** minimize slope disturbance and limit the development footprint on steep slopes. Where slope disturbance is necessary, temporary erosion control shall be provided. For example, blanket or fiber rolls **may** be installed on the slope to reduce sediment disturbance. Permanent erosion controls (i.e. terracing, retaining walls and landscaping) **should** also be used on steep slopes to reduce long-term erosion.

2.) **Best Management Practices (BMP) during Construction**

2.1 **Protecting Environmental Resources**

Consider creating onsite vegetation compost of regionally appropriate trees to be used as protective mulch during construction or as a base for walking trails. Also, it is recommended to prepare designated existing trees and vegetation for the impact of construction work by pruning, root pruning, fertilizing and watering.

2.2 **Soil Disturbance and Erosion**

The developer **should** set limits of clearing and grading, by creating construction “no disturbance” zones using flags or fencing. The developer **should** protect vegetation buffers by using silt fencing, construction diversion ditches or berms, rock filled bags around storm drains, temporary seeding and/or constructing a temporary rock entry and exit pathway. It is recommended to reduce soil compaction from construction equipment through the laying down of mulch, chipped wood or plywood sheets. It is also recommended to inspect and maintain the BMP controls, provide waste management, designate washing areas, and provide material storage and handling areas.

2.3 **Recycled Content Material**

Newly constructed dwellings **shall** use some materials with recycled content. The developer **should** give consideration to the recycled content percentage of the building based on the cost or value of recycled content in relation to total materials for the project.

2.4 **Certified, Salvaged and Engineered Wood**

The developer **should** use wood products and materials that are salvaged wood, engineered framing materials or certified in accordance with the Forest Stewardship Council [<http://fscus.org>], as reasonable.

3.) **Materials Beneficial to the Environment**

3.1 **Water-Permeable Walkways**

The developer **should** consider using water-permeable materials in walkways; such as pervious concrete and/or permeable pavers.

3.2 **Water-Permeable Parking Areas**

The developer **should** consider using water-permeable materials in paved parking areas; such as pervious concrete, porous grid system paving, brick and stone permeable pavers.

3.3 **Reduce Heat-Island Effect: Roofing**

The developer **should** use Energy Star-compliant and high-emissive roofing, and/or use green materials such as metal roofing or OSB solar board.

3.4 **Reduce Heat-Island Effect: Paving**

The developer **should** use light-colored, high-albedo materials and/or an open-grid pavement with a low Solar Reflective Index.

4.) Water Conservation

4.1 Water-Conserving Appliances and Fixtures

Newly constructed dwellings **shall use** high efficiency appliances. The developer **shall** install water-conserving fixtures with the following minimum specifications: toilets = < 1.3 GPF, showerheads = < 2.0 GPM, kitchen faucets = 2.0 GPM, bathroom faucets = < 2.0 GPM.

4.2 Water Heating

Newly constructed dwellings **shall** install water heaters in rooms with drains or install catch pans with drains piped to the exterior of the dwelling and with non-water sensitive floor coverings. The developer **should** install efficient hot water distribution, pipe insulation and efficient domestic hot water equipment such as high-efficiency tankless hot water heaters or direct vented conventional hot water heaters. Consider locating water heaters within 30 feet of pipe run of all bathrooms and kitchen.

5.) Indoor Environmental Quality

5.1 Basements and Concrete Slabs: Vapor Barrier

The developer **shall** provide a vapor barrier under all interior slabs. For concrete floors either in basements or on-grade slab install a capillary break of 4 four inches of gravel over soil. Cover all gravel with a 6-millimeter polyethylene sheeting moisture barrier with joints lapped 1 foot or more.

5.2 Basements and Concrete Slabs: Radon

All newly constructed dwellings **shall** be provided with radon protection. The minimum that **shall** be installed is passive radon-resistant features below the slab along with a vertical vent pipe with a junction box available, if an active system should prove necessary.

5.3 Urea Formaldehyde-free Composite Wood

Newly constructed dwellings **shall** use particleboard, medium-density fiberboard (MDF) or hardwood plywood with low formaldehyde emission standards that is certified compliant with the ANSI A208.1 and A208.2. If using nonrated composite wood, all exposed edges and sides **shall** be sealed with low-VOC sealants.

5.4 Integrated Pest Management

Newly constructed dwellings **shall** have all wall, floor and joint penetrations sealed with low-VOC caulking. The developer **shall** provide rodent-proof and corrosion-proof screens (e.g., copper or stainless steel mesh) for large openings. The developer **shall not** use screens on furnace or other appliance vents.

5.5 Material in Wet Areas: Surfaces

Newly constructed dwellings **shall** use materials that have smooth, durable, cleanable surfaces in wet areas. Developer **shall not** use mold-propagating materials such as vinyl wallpaper and unsealed grout.

5.6 Plumbing

Plumbing **should** be installed in interior walls where it can be most easily found and fixed. Avoid plumbing in insulated exterior walls and ceilings as these areas are subject to greater temperature swings.

5.7 Flooring

The developer **shall not** install carpets in below grade living spaces, entryways, laundry rooms, bathrooms, kitchens or utility rooms. In other rooms, where carpeting is to be used, consider using the Carpet and Rug Institute's Green Label certified carpet, pad and carpet adhesives [<http://www.carpet-rug.org/commercial-customers/green-building-and-the-environment/green-label-plus/>].

5.8 Paints and Primers

Newly constructed dwellings **shall** use low or no emissions volatile organic compounds (VOC) paints and primers. All interior paints and primers **shall** comply with current Green Seal standards for low-VOC limits [<http://www.greenseal.org/findaproduct/index.cfm>]. The use of pressed wood products, adhesives and other finishes (such as paints and varnishes) containing chlorofluorocarbons (CFC) **should** be avoided.

5.9 Adhesives and Sealants

Newly constructed dwellings **shall** use low / no emissions of VOC adhesives and sealants. Specify that all adhesives must comply with Rule 1168 of the South Coast Air Quality Management District [<http://www.arb.ca.gov/DRDB/SC/CURHTML/R1168.PDF>]. Caulks and sealants **shall** comply with Regulation 8, Rule 51 of the Bay Area Air Quality Management District [<http://www.baaqmd.gov/Divisions/Planning-and-Research/Rules-and-Regulations.aspx>].

5.10 Bathrooms

Newly constructed dwellings **shall** use fiberglass or similar tub enclosures or, if using any form of grouted material, use backing materials such as cement board, fiber cement board, paperless gypsum board or equivalent (i.e., not paper-faced) around tub and shower enclosures. Moisture resistant backerboard (not paper-faced sheathing) **should** be use under tiled surfaces in other high moisture areas.

5.11 Exhaust Fans

The developer **shall** install Energy Star-labeled bathroom fans in each bathroom that exhaust to the outdoors, and are connected to a light switch, or are equipped with a humidistat sensor or timer, *or* operate continuously. For kitchens, the developer **shall** install power vented fans or range hoods that exhaust to the exterior to prevent moisture, odor and pollutants from circulating throughout the dwelling.

5.12 Ventilation

The developer **should** install a ventilation system for the dwelling unit, providing adequate fresh air per ASHRAE 62.1-2007 for residential structures above three stories or ASHRAE 62.2 for single family and low-rise multifamily dwellings.

5.13 HVAC

All HVAC equipment **shall** meet energy star standards. Newly constructed dwellings **shall** have insulated HVAC ducts, plenums and trunks in unconditioned basements, attics and crawl spaces to avoid condensation. All ducts **should** be run within conditioned spaces. All ducts **shall** be sized in accordance with the Air Conditioning Contractors of America Manual, Part D, and sealed with mastic. The developer **should** mask all HVAC outlets during construction and clean ducts, boots and grilles before turning on central heating/ cooling system. All air conditioners drain pans **shall**

be constructed and installed so that they drain properly. The developer **should** conduct a refrigerant charge test on all appropriate refrigerants appliances.

5.14 HVAC Sizing

Each newly constructed dwelling **shall** have heating and cooling equipment sized in accordance with the Air Conditioning Contractors of America Manual, Parts J and S, ASHRAE handbooks, or equivalent software.

5.15 Combustion Equipment

Where combustion equipment is to be installed, the developer **shall** specify power vented or combustion sealed equipment (i.e. space and water heaters) and **shall** install one hard-wired CO detector for each sleeping area, minimum one per floor.

5.16 Clothes Washer Hook Up

The developer **shall** place clothes washer hook up in rooms that are not water sensitive and with a floor covering that can be wet mopped. Shut-off valves for clothes washers **shall** be easily accessible and visible.

5.17 Clothes Dryer

Newly constructed dwellings **shall** have clothes dryers exhausted directly to the outdoors.

5.18 Garage Isolation

If connected to the dwelling, garages **should** be vented to the exterior with a passive stack vent or a continuously operating exhaust fan. The door between the garage and the dwelling **shall** be weather-stripped and the common wall air sealed. Air conditioners and furnaces **should not** be located in the garage. Single-family dwellings with attached garages **shall** install CO alarms, including one inside the dwelling near the wall that is attached to the garage and one outside each sleeping area.

6.) Energy Efficiency

6.1 Energy Star Standards

All newly constructed homes **shall** meet Energy Star Standards for single family and low rise residential buildings [<http://www.energystar.gov>].

6.2 Energy Star Appliances

If providing appliances, the developer **shall** install appliances meeting Energy Star standards (i.e. Energy Star ranges and refrigerators).

6.3 Efficient Lighting: Interior

The developer **shall** install the Energy Star Advanced Lighting Package in all interior units and use Energy Star or high-efficiency commercial grade fixtures in all common areas and outdoors.

6.4 Efficient Lighting: Exterior

The developer **shall** install daylight sensors or timers on all outdoor lighting, including front and rear porch lights in single family dwellings.

6.5 Electricity Meter

The developer **shall** install individual or sub-metered electric meters to each dwelling.

6.6 Renewable Energy

Consider installing PV panels, wind turbines or other renewable energy sources to provide at least 10 percent of the dwelling's estimated electricity demand. The developer **should** wire the dwelling to accommodate installation of PV in the future.

7.) Operation and Management

7.1 Occupant's Manual

A guide for homeowners and renters **shall** be provided that explains the intent, benefits, use and maintenance of green building features, and clearly labeled diagrams showing safety valves and controls for major house systems. The manual **should** encourage additional green activities such as recycling, gardening, making use of nearby neighborhood resources, and use of healthy cleaning materials and alternate measures for pest control.

7.2 Homeowner and New Resident Orientation

A walk-through and orientation to the homeowner or new resident **shall** be provided using the Occupant Manual from 7.1 above that reviews the building's green features, operations and maintenance along with neighborhood conveniences.

Green Gut Rehabilitation Standard

1.1 Energy Star

All gut rehabilitation project **shall** be required to exceed the **Energy Star for New Homes Standard**.

Green Moderate Rehabilitation standard

1.1 Energy Star Appliances and Fixtures

All appliances and/or fixtures that are purchased for use in Neighborhood Stabilization Program 2 rehabilitation projects, **shall** comply with **Energy Star** requirements.

Green Demolition Standard

1.1 Deconstruction

Consider disassembling existing structures instead of demolition. The developer **should** reuse salvaged materials that meet the green building standards, if possible. The developer **shall** take proper caution with hazardous materials. A recommendation is to dedicate and provide onsite bins and/or space to facilitate the sorting and reuse of scrap building materials. Also, it is recommended to donate salvaged materials that do not meet the green building standards, to a restore home improvement facility or organization (i.e. Habitat's ReStore, the Green Project).

Appendix E. Leverage letter of commitment



July 17, 2009

Stanley Gimont, Director
U.S. Department of Housing and Urban Development
Office of Block Grant Assistance
451 Seventh Street, S.W., Room 7286
Washington, DC 20410

Subject: State of Ohio Neighborhood Stabilization Program 2 Letter of Commitment

Dear Mr. Gimont:

The Ohio Housing Finance Agency (OHFA), an independent state agency, commits \$3.5 million of Ohio Housing Trust Fund (OHTF) dollars as leverage for the State of Ohio's Neighborhood Stabilization Program 2 application. OHTF dollars are fee-based state resources.

For the past four years, OHFA and the Ohio Department of Development, the NSP 2 applicant for the state, have worked collaboratively and successfully on a myriad of programs and projects and, as a result of this cooperation, have established a beneficial symbiotic relationship that continues to thrive. In fact, through this relationship, OHFA and ODOD established the Affordable Rental Housing Initiative, with Housing and Economic Recovery Act of 2008 NSP funds, to develop new rental housing opportunities for low-income households.

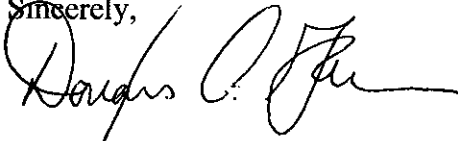
In addition, OHFA and ODOD continue to seek opportunities to address Ohio's foreclosure crisis, which continues to escalate. In fact, in 2008, 62 of Ohio's 88 counties saw an increase in foreclosure filings; and filings grew by double-digit rates in 27 counties. While urban counties continue to lead the state in foreclosure filings, smaller counties are experiencing larger growth. This trend is expected to continue throughout 2009. Therefore, it is imperative that Ohio's NSP application be approved to ensure that Ohio's smaller counties are afforded the appropriate resources to quickly and effectively address the de-stabilization of their neighborhoods.

If Ohio's NSP 2 application is approved, OHFA will award the OHTF dollars through the Housing Development Assistance Grant Program to the State of Ohio's NSP 2 consortium members that are proposing to purchase and rehabilitate homes and residential properties that have been abandoned or foreclosed upon, in order to sell, rent

or redevelop such homes and properties; or redevelop demolished or vacant properties as housing. The HDAP provides financing for eligible applicants to expand the supply of decent, safe affordable housing for low- to moderate-income persons and households in Ohio. The committed funds will assist households with incomes at or below 80 percent of the area median income.

Questions regarding OHFA's commitment to Ohio's NSP 2 application should be directed to me by telephone at (614) 466-7970 or by e-mail at DGarver@ohiohome.org.

Sincerely,

A handwritten signature in black ink, appearing to read "Douglas Garver", written over a horizontal line.

Douglas Garver, Executive Director

DG/st

Appendix F. Calculation of removal of negative effects

Removal of destabilizing influences (vacant residential addresses)

- Proposed units of housing demolition using NSP2 funds: 360
- Proposed units of housing acquisition/rehabilitation/resale using NSP2 funds: 200
- Count of long-term vacant* residential addresses in target area: 8,876 (USPS, 2009-Q1)
- Ratio of (demolished unit + rehabbed units) x 1.5 to total vacant addresses: 0.095

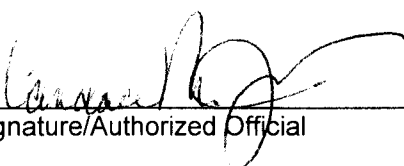
****Long-term vacant*** is defined here as those residential addresses determined by USPS to have been consistently vacant for 12 months or longer.

Appendix G. Certifications

State of Ohio
Neighborhood Stabilization Program (NSP) 2
Certifications

1. Affirmatively further fair housing. The applicant will affirmatively further fair housing, which means that it will conduct an analysis to identify impediments to fair housing choice within the jurisdiction, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting the analysis and actions in this regard.
2. Anti-displacement and relocation plan. The applicant has in effect and is following a residential anti-displacement and relocation assistance plan.
3. Anti-lobbying. The applicant will comply with restrictions on lobbying required by 24 CFR part 87, together with disclosure forms, if required by that part.
4. Authority of applicant. The applicant possesses the legal authority to carry out the programs for which it is seeking funding, in accordance with applicable HUD regulations and other program requirements.
5. Acquisition and relocation. The jurisdiction 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) and implementing regulations at 49 CFR part 24, except as those provisions are modified by the Notice of Fund Availability for the NSP2 program published by HUD.
6. Section 3. The applicant 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 135.
7. Citizen participation. The applicant is in full compliance and following a detailed citizen participation plan that satisfies the requirements of the NSP2 Notice of Fund Availability published by HUD.
8. Use of funds. The applicant will comply with Title III of Division B of the Housing and Economic Recovery Act of 2008, as modified by the American Recovery and Reinvestment Act by spending 50 percent of its grant funds within 2 years, and spending 100 percent within 3 years, of receipt of the grant.
9.
 - a. Use of NSP2 funds \leq 120percent. The applicant will comply with the requirement that all of the NSP funds made available to it will be used with respect to individuals and families whose incomes do not exceed 120 percent of area median income.
 - b. Assessments. The applicant 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 NSP funds are used to pay the proportion of a fee or assessment attributable to the capital costs of public improvements (assisted in part with NSP 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, with respect to properties owned and occupied by moderate-income (but not low-income) families, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than NSP funds if the jurisdiction certifies that it lacks NSP or CDBG funds to cover the assessment.

10. Excessive force. The applicant certifies that 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 that is the subject of such non-violent civil rights demonstrations.
11. Compliance with anti-discrimination laws. The NSP2 grant will be conducted and administered in conformity with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d), the Fair Housing Act (42 U.S.C. 3601–3619), and implementing regulations.
12. Compliance with lead-based paint procedures. The activities concerning lead-based paint will comply with the requirements of 24 CFR part 35, subparts A, B, J, K, and R.
13. Compliance with laws. The applicant will comply with applicable laws.



Signature/Authorized Official

7/10/2009
Date

Candace M. Jones
Chief Legal Counsel & Ethics Officer
Authorized Signatory for Lisa Patt McDaniel, Interim Director
Title

NON-PROFIT PARTNER CERTIFICATIONS

The non-profit applicant, Community Action Commission of Fayette County, as a partner in a consortium led by the Ohio Department of Development, on behalf of the State of Ohio, hereby certifies that:

1. Affirmatively Further Fair Housing. Applicant will affirmatively further fair housing, affirmatively market NSP2 assisted units and carry out NSP2 activities that further fair housing through innovative housing design or construction to increase access for persons with disabilities, language assistance services to persons with limited English proficiency (on the basis of national origin), or location of new or rehabilitated housing in a manner that provides greater housing choice or mobility for persons in classes protected by the Fair Housing Act, and maintain records reflecting the actions in this regard.
2. Anti-lobbying. Applicant is in compliance with restrictions on lobbying as required by 24 CFR part 87.
3. Authority of Applicant. Applicant possesses the legal authority to carry out the programs for which it is seeking funding, in accordance with applicable HUD regulations and other program requirements.
4. Acquisition and Relocation. Applicant 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), and implementing regulations at 49 CFR part 24, except as those provisions are modified by the notice for the NSP2 program published by HUD.
5. Section 3. Applicant 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 135.
6. Citizen Participation. Applicant is carrying out citizen participation in accordance with NSP2 requirements.
7. Use of Funds. It will comply with Title III of Division B of the Housing and Economic Recovery Act of 2008, as modified by the American Reinvestment and Recovery Act by expending 50 percent of its grant funds within 2 years and expending 100 percent within 3 years of receipt of the grant.
8. The applicant certifies that:
 - a. All of the NSP2 funds made available to it will be used with respect to individuals and families whose incomes do not exceed 120 percent of area median income; and
 - b. It will not attempt to recover any capital costs of public improvements assisted with CDBG 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 NSP funds are used to pay the proportion of a fee or assessment attributable to the capital costs of public improvements assisted in part with NSP 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, with

respect to properties owned and occupied by moderate-income (but not low-income) families, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than NSP funds if the jurisdiction certifies that it lacks NSP or CDBG funds to cover the assessment.

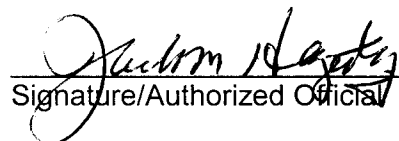
9. Compliance with Anti-discrimination Laws. The NSP grant will be conducted and administered in conformity with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d), the Fair Housing Act (42 U.S.C. 3601-3619), and implementing regulations.
10. Lead-based Paint. Applicant's activities concerning lead-based paint will comply with the requirements of 24 CFR part 35, subparts A, B, J, K, and R.
11. Applicable Laws. Applicant will comply with applicable laws.
12. Environmental Review. The applicant assures that it agrees to assist HUD to comply with 24 CFR part 50 and that the applicant shall:
 - (1) Supply HUD with all available, relevant information necessary for HUD to perform for each property any environmental review required by 24 CFR part 50;
 - (2) Carry out mitigating measures required by HUD or select alternate eligible property; and
 - (3) Not acquire, rehabilitate, demolish, convert, lease, repair or construct property, nor commit or expend HUD or local funds for these program activities with respect to any eligible property, until HUD approval of the property is received.

Community Action Commission of Fayette County

Applicant organization:

Jack Hagerty, Executive Director

Applicant organization signatory:


Signature/Authorized Official

7-10-09

Date:

respect to properties owned and occupied by moderate-income (but not low-income) families, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than NSP funds if the jurisdiction certifies that it lacks NSP or CDBG funds to cover the assessment.

9. Compliance with Anti-discrimination Laws. The NSP grant will be conducted and administered in conformity with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d), the Fair Housing Act (42 U.S.C. 3601-3619), and implementing regulations.
10. Lead-based Paint. Applicant's activities concerning lead-based paint will comply with the requirements of 24 CFR part 35, subparts A, B, J, K, and R.
11. Applicable Laws. Applicant will comply with applicable laws.
12. Environmental Review. The applicant assures that it agrees to assist HUD to comply with 24 CFR part 50 and that the applicant shall:
 - (1) Supply HUD with all available, relevant information necessary for HUD to perform for each property any environmental review required by 24 CFR part 50;
 - (2) Carry out mitigating measures required by HUD or select alternate eligible property; and
 - (3) Not acquire, rehabilitate, demolish, convert, lease, repair or construct property, nor commit or expend HUD or local funds for these program activities with respect to any eligible property, until HUD approval of the property is received.

Mid-Ohio Regional Planning Commission
Applicant organization:

Choster R. Jourdan, Jr.
Applicant organization signatory:

[Signature]
Signature/Authorized Official

7/14/09
Date:

MORPC Financial Director
[Signature]

Carl R. Stivers, CPA
10/20/2009

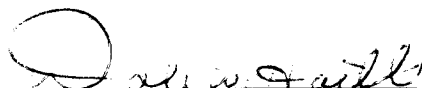
[Signature]

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Ohio Regional Development Corporation
Applicant organization:

Dale W. Hartle
Applicant organization signatory:


Signature/Authorized Official

7-10-99
Date:

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Community Action Partnership of the Greater Dayton Area
Applicant organization:

John T Donnellan President & CEO
Applicant organization signatory:



Signature/Authorized Official

7/10/2009

Date:

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Gallia-Meigs Community Action Agency, Inc.
Applicant organization:

Theodore T. Reed, III
Applicant organization signatory:


Signature/Authorized Official

July 15, 2009
Date:

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Neighborhood Development Services, Inc.
Applicant organization:

C. David Vaughan, Executive Director
Applicant organization signatory:


Signature/Authorized Official

2/10/09
Date:

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WSOS Community Action Commission, Inc.
Applicant organization:

Neil McCabe, President/CEO
Applicant organization signatory:



Signature/Authorized Official

7-10-09

Date:

Appendix H. Citizen comments and posted plan

Public notice and citizen comments

- On July 1, 2009, the Ohio Department of Development (ODOD) distributed a memo to the 33 counties, and the communities within those counties, where the 176 Census tracts are located that will be included in ODOD's NSP 2 application.
- On July 2, an NSP 2 notice was published in 13 newspapers across the state requesting public comment on the ODOD's plan to submit an NSP 2 application.
- During the period of July 2-12, 2009, the ODOD Office of Housing and Community Partnerships (OHCP) accepted written public comments on the ODOD's plan to expend NSP 2 funds.
- No public comments were received during the period of July 2-12, 2009.

The plan and related documents are posted at the following URL:

<http://development.ohio.gov/cdd/ohcp/NSP2.htm>