New York State HOME Local Program

Small Rental Development Initiative (SRDI)

Community Development Online (CDOL) Application System Instructions

NEW YORK STATE OF OPPORTUNITY | Homes and Community Renewal

OFFICE OF COMMUNITY RENEWAL

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Small Rental Development Initiative (SRDI)

Program information is located at http://www.nyshcr.org/Funding/SRDI/

PROGRAM DESCRIPTION:

The NYS Home Local Program (HOME Local) is a federally funded program administered by the HTFC Office of Community Renewal (OCR). The program is designed to fund a variety of residential housing activities to expand the supply of decent, safe, and affordable housing throughout the State of New York. The funds made available in this NOFA and RFP represent de-obligated and/or uncommitted prior years HOME funds designated for use by Developer-owners of small rental projects. See the NYS HOME Local Program Small Rental Development Initiative (SRDI) Request for Proposals (RFP) and related documents for more detailed information.

ELIGIBLE APPLICANTS:

Eligible Developer-owners are defined as:

1. Non-profit corporations incorporated under State Non-Profit Corporation Law
2. Community Housing Development Organizations (CHDOs)
3. Public Housing Authorities and not-for profit subsidiaries
4. Applications are permitted from Developer-owners whose projects are located within non-state funded HOME Participating Jurisdictions.
5. Developer-owners must be able to demonstrate local market need for affordable rental housing in the proposed service area.
6. Developer-owner must demonstrate the capacity to utilize the amount of funds requested within the 3 year contract term.

ELIGIBLE PROJECTS:

1. Funds may be used by a Developer-owner for the acquisition and/or rehabilitation or construction of affordable residential rental housing to serve low income families.
2. The Developer-owner may request funds for construction or permanent financing.
3. The housing must be used for permanent or transitional low income rental housing as permitted by the HOME Final Rule.
4. The project may contain 2 to 25 units and consist of 1 or more buildings on a single site or multiple sites under common ownership, management and financing. Multi-phased rental development projects are also encouraged to apply.
5. Permanent and transitional housing, including group homes and SRO’s are eligible.
6. The Developer-owner must be the sole and exclusive owner of the property during development and the required Period of Affordability (POA), typically 15 to 20 years. The project cannot be co-owned with another entity.

7. The Developer-owner must own or will own the project in fee simple absolute title or have a long term ground lease that is at a minimum, equal to the term of the POA.
8. The Developer-owner must manage or hire a property manager to oversee the long term management responsibilities of the rental housing throughout the required POA.
9. The Developer-owner must be in charge of all aspects of development process to include: identification, procurement and oversight of contractors, negotiation of land use/permit approvals, obtaining zoning approvals, securing non-HOME financing as applicable, selecting Architects, Engineers, Housing Rehabilitation Specialists, General Contractors, etc., and must oversee the progress of all work paid with HOME funds and determine the reasonableness of costs.

NON-ELIGIBLE PROJECTS:

Projects must be eligible under HOME Program rules. Projects that are not eligible for HOME funding include shelters, temporary housing, student housing, Federal public housing units, and properties that were previously financed with HOME and are under an active HOME regulatory agreement and POA. Due to the time constraints for the commitment and expenditure of these funds, projects that include State or Federal Low Income Housing Tax Credits as a financing source are also not eligible.

MARKET NEED – LONG TERM AFFORDABILITY:

Developer-owners must be able to demonstrate local market need for affordable rental units in the area where the project is located and the capacity to operate/manage the project according to HOME rental requirements throughout the Period of Affordability (POA).

I. Community Development Online (CDOL) Application System

Applications for NYS HOME Local Program funding are submitted through the Community Development Online (CDOL) application system.

NYS HOME Local Small Rental Development Initiative Application Exhibits and Attachments must be submitted via the CDOL system by 3:00 PM (EST) Wednesday, May 10, 2017.

Applications and supplemental materials received after the stated deadline will be considered a late submission and will not be accepted or reviewed.

A. Registering Applicant & Security Manager

Please review the following to confirm that the applicant organization is prepared to use the CDOL system.

To use CDOL, applicants must:

1. Be registered in the New York State Homes and Community Renewal (HCR) Statewide Housing Activity Reporting System (SHARS)

2. Have designated a Security Manager for their organization. The Security Manager will serve as the individual who authorizes and monitors access to CDOL for the applicant's organization, including which people have the ability to update the organization's applications. Security Managers may go into the CDOL system, and add or remove users for their organization. Forms are available on HCR's website: http://www.nyshcr.org/Apps/CDOnline/.

- **If the organization has not previously applied to HCR for funding:**

  Submit an Applicant Registration Form to register as a SHARS Applicant. This form also contains a section to designate a Security Manager for the organization. HCR staff will register the organization and Security Manager and e-mail a USER ID and password to access CDOL.

- **If the organization is a registered SHARS applicant, but has not registered to use CDOL:**

  Submit a Security Manager Registration Form to HCR, which will allow access to CDOL. Complete and return the Security Manager Registration Form with an original authorized signature to the address specified on the form and HCR will e-mail a User ID and temporary password with which to access the CDOL system.

- **If the organization has previously used the CDOL system to apply to HCR for funding:**

  Applicants who used CDOL in the past will still be registered, and may use the user ID and password previously assigned to them. To retrieve a forgotten password, go to CDOL and enter the USER ID and e-mail address. A new password will be automatically e-mailed. If the email address associated with the USER ID has changed, and/or the password or USER ID has been lost, please send an email to **ocrinfo@nyshcr.org** for assistance.

B. Identifying and Registering Organization's Electronic Signatory

Applications submitted through the CDOL system must be electronically certified by an authorized representative of the applicant's organization. The person who will certify the application must be set up in CDOL as a user for the applicant organization. The Security Manager (identified on the Security Manager Registration Form) may add the certifier by following these steps:

1. Log into CDOL and click on the User Administration link at the top of the page. The organization name will be displayed with a list of CDOL users.

2. To add the organization's authorized signatory, click 'Add New User', and enter their first and last name, and e-mail address.

3. Select their access level from the drop-down box. Applicant inquiry allows the user to view but not change the application. Applicant update allows the user to make changes to the application.

4. Click the box that reads 'Authorized to Sign Certification'

5. Click the box next to the organization name. Then click 'Submit'.

6. CDOL will generate an e-mail providing the user with their User ID and temporary password. Later, when the application exhibits are complete, validated and ready to be submitted, the certifier must log-in to CDOL, complete the certification, and submit the application exhibits. Required application attachments must also be certified prior to submission.

C. Verifying Applicant Information

Prior to beginning a new application using the CDOL system, the applicant organization must verify and update their organization information. To do so, login and from the CDOL Main Menu, select the 'View' button to the right of the organization's name, under the 'Organization' heading. A pop-up window will appear with the organization information HCR has on file. If any of the information displayed is incorrect or needs updating, close the pop-up window and select the 'Edit' button

to the right of the organization name. Please be sure to include the name and mailing address for the contact authorized to execute a contract with the HTFC. It is important for HCR and the HTFC to know where to mail potential award and contract materials.

An organization may update its organization information in CDOL at any time, but may not change the organization information on the application once it has been submitted.

<u>CDOL Applicant Information Fields to review and verify:</u>

A. <u>General Applicant Information</u>

- If applicable, the applicant's Department of State (DOS) Charities Registration Number.
- The month and day of the applicant's fiscal year end date (for example: 12/31).
- Any aliases or acronyms the organization is also known as.

B. <u>Type of Applicant</u>

- Select each applicable applicant type.
- If applicable, add or correct the date of the non-profit applicant's legal incorporation.

C. <u>Phone and Internet Data</u>

- If necessary, edit the applicant's telephone and fax numbers, e-mail address and URL.

D. Mailing Address(es)

- If necessary, edit the applicant's primary mailing address in D1. If the mailing address for correspondence related to this application differs from the primary address, add the address in Section D2. The applicant will be able to select the address to which the award decision or contract correspondence should be mailed.

E. Primary Contact

- If necessary, edit the name, title, phone number and extension, and e-mail address of the person who is the primary contact for the organization. This person must have the authority to legally represent the applicant.

F. Other Principals

- If necessary, edit or add principal organizations or employees of the applicant organization. For example, the Executive Director, CEO, Board President, or general partner.

II. Application Overview

A. Contents of Application

A complete NYS HOME Local SRDI application includes five (5) exhibits, an electronic certification, and up to seven (7) possible attachments.

Exhibit 1 – Application Summary

Exhibit 2 – Program Summary And Financing Plan

Exhibit 3 – Needs Statement Summary

Exhibit 4 – Relevant Experience

Exhibit 5 – Budget/Financing Plan

Electronic Application Certification

Attachment 1 – Small Rental Development Initiative Project Management Plan/Management Plan Question Responses (Required)

Attachment 2 – NYS HOME Local Program Budget Worksheet (Not required/applicable)

Attachment 3 – Funding Commitment Letters

Attachment 4 – Pro Forma Budget Workbook (Required)

Attachment 5 – Site Control Documentation (Required)

Attachment 6 – Green Building/Energy Efficiency Supporting Documentation

Attachment 7 – Supportive Services Agency Commitments

B. Application Process

The submission of a NYS HOME Local SRDI application via CDOL requires five steps:

1. Completing 5 online application exhibits;
2. Validating online application exhibits;
3. Certifying and submitting online application exhibits
4. Uploading and submitting attachments
5. Certifying attachments.

III. Completing Application Exhibits

A. Creating a New Application in CDOL

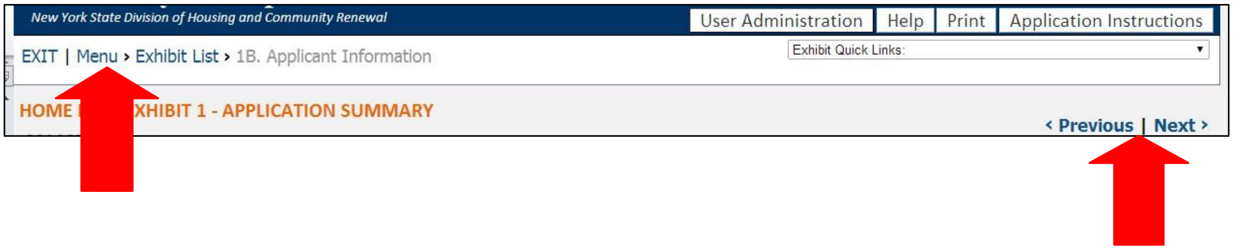
- Log in to CDOL.
- Next to 'Start a New Application' under the 'Applications' heading, enter a distinct name for the proposed project. If awarded, the Application Name entered here will be used to label contract materials and to describe the program throughout the contract term.
- Select 'HOME Local Program' from the 'Application Type' drop-down menu.
- Press 'Submit' button.
- A table of contents will be displayed with a list of all NYS HOME LPA Program Application Exhibits broken down by individual screens in CDOL. Instructions for completing each exhibit follow.

B. Application Exhibit Navigation

Complete the required fields for each Exhibit as explained in the detailed instructions below. Once the information is entered in each field, and the exhibit is complete, press 'Submit' at the bottom of the screen.

- If the Exhibit is complete and accurate, a message will appear at the top of the screen in green to notify the applicant that the 'Updates have been successfully saved'.
- If errors are present in the Exhibit, a message will appear in red at the top of the screen, and individual error messages will appear under the fields causing the error message(s). Follow the instructions to correct the error(s) and press 'submit' again. Once the message 'Updates have been successfully saved,' is displayed, press the 'Next' navigation button at the top right of the screen to move to the next application

Exhibit.



DO NOT use the internet browser back and forward buttons to navigate in CDOL. Use the Previous and Next links at the top right of the screen, or the Menu and Exhibit List links at the top left of the screen. If an applicant uses the browser back and forward buttons, application information may be lost.

C. Instructions for Completing Application Exhibits

Exhibit 1 - Application Summary

Please note: do not enter zero '0' in exhibit fields. If the applicant does not intend to request funds for a particular activity, the field must be left blank.

Select 'Edit' on line 1A to begin completing the application fields.

1A. Funds Requested and Activities/Uses

NYS HOME Local Program SRDI Pro Forma Budget Workbook

Please refer to and complete the NYS HOME Local Program "Pro Forma Budget Workbook" available on the HCR HOME Local Program website (***http://www.nyshcr.org/Funding/SRDI/***), to create the project budget. Instructions are also posted that explain how to complete the pro forma. Applicants must complete the pro forma in order to fill out required budget information in the CDOL application system.

Applicants must upload the completed Pro Forma Budget Workbook as CDOL Attachment 4. The totals from the Pro Forma Development Tab 6 must be used to fill in the budget line items in CDOL Exhibit 5B.

1. **Project Name:** A Project Name was entered on the main menu when the application was created. The Project Name will auto populate from the main menu into this field; however, you can also create a new name using this field. See instructions below. Please enter a brief, descriptive name. If awarded, the Program Name entered here will be used to label contract materials and to describe the program throughout the contract term, e.g., "Rental Revitalization Inc., Community Gardens Apartments"

2. **HOME Funds Requested:** This field will be automatically filled based on responses entered in the fields below.

3. **HOME Program Activities/Uses of Funds:** Enter the number of units or households

that will be assisted **and** the dollar amount (rounded to the nearest dollar) requested for the project/use included as part of the proposed NYS HOME Local SRDI Project. **Please review the NOFA, RFP and related documents to determine the amount of funds to request.**

1B. <u>Applicant Information</u>

If the applicant organization information has already been verified, as instructed above, limited fields on this screen require completion. These may include:

5b. If applicable, indicate whether all required periodic or annual written reports have been filed in a timely manner (non-profit applicants only).

5c. Enter the nine-digit Data Universal Number System (DUNS) Number used to identify your organization.

6. Select the Official Mailing Address for correspondence related to this application.

8. Complete this section for the individual who will be the primary contact person for correspondence related to this application. If this person also is the individual authorized to execute an agreement with the HTFC should the proposal be funded, select "Yes" next to that question. If "Yes" was selected, do not complete question 9, as an error message will occur. If "No" was selected, completing question 9 is required.

9. If the contact selected as the primary contact is not authorized to execute a contract with Housing Trust Fund Corporation (HTFC), complete the fields to identify a contact who is authorized.

Press "Submit" at the bottom of the screen, and use the "Next" link in the top right to move to the next screen.

1C. <u>Program Detail Information</u>

1C-1. Counties/Municipalities

1. Project County: Select the county from the drop-down menu.

2. Countywide: Indicate whether the project proposed is scattered site or will serve the entire county.

3. If 'yes' is selected for the above question, click 'submit' and go on to the next page. If 'no' is selected, choose the municipality to be served from the drop-down Municipality menu. Click 'submit'. The page will be redisplayed with the county name and selected municipality in a grid. If multiple municipalities are to be served, add another municipality by clicking the 'add' button at the bottom of the grid. The county and municipality drop-downs will become available again. Select the county and municipality and click 'submit'. Repeat this step until all project municipalities have been added.

4. If the project will serve multiple counties: Complete the steps outlined above. To add another county, click the 'add' button. When the page is redisplayed, select another county from the drop-down menu.

1C-2. Regional Council

Select the Regional Council(s) associated with the region(s) in which the project is located. A map is available for reference here: http://regionalcouncils.ny.gov/map

1C-3. Latitude & Longitude

Enter the project latitude and longitude. Applicants must enter the latitude and longitude with enough digits to completely fill the question field. If the source you are using does not result in enough digits to completely fill the field, just add zero's at the end. Applicants may use online sources to obtain the Latitude or Longitude. For example, using Google Maps, a user can right-click on an area of the map, and select *"What's here?"* from the drop down menu. An info card with coordinates will appear under the search box.

- For a project proposing assistance to a single address, or property, use that address to obtain the latitude and longitude for the project.
- For a Project in a single municipality, select an address in a central location to obtain the latitude and longitude for the application.
- For a Project spanning a county, multiple counties, select a central point, or use the address of the applicant organization's office if centrally located.

1D. <u>Political Districts</u>

Locate and click on the name(s) of the Assembly Member who represents the locality in which the project will be located. Click on the top arrow to move the name into the box on the right. (A name can be removed by clicking on the bottom arrow). Repeat this as necessary for each Assembly, Senate and Congressional Representative who serves the project Municipality (ies).

1E. <u>Income Targets</u>

Enter the approximate number of residential rental units which are expected to be occupied by persons in each corresponding income group. The total residential rental units entered on this screen must be equal to the total units entered on screen 1A, which is shown at the bottom of the screen.

1F. Target Special Needs Populations

If the program elects to serve a special needs population, the Developer-owner must have a current service provider agreement that will send direct referrals of prospective tenants of the special needs population to the Developer-owner to rent the units. The service provider agreement must be uploaded as an attachment in CDOL.

On this screen, enter the number of HOME assisted units targeted to special needs population households. The total number of units entered on this screen must be equal to the total units entered on screen 1A, which is shown at the bottom of the screen. If your program is not targeting a special needs population, then enter the total number of units next to “No Target Population (or Unknown)”.

Exhibit 2 – Program Summary and Financing Plan

2A. Program Abstract

Follow the sample text provided to draft a brief abstract of the proposed project. **Please note, the abstract provided may be included in press materials.** This abstract should include, but not be limited to the following information: Organization name, HOME Award requested amount, estimated total project costs, other sources of funding, main goal(s) of the project, what HOME funds will be used for, and any special emphasis/innovation related to the project, such as targeting special needs populations or areas/neighborhoods to be served, income ranges to be targeted, etc.

Sample text: The Sample Developer-Owner Organization proposes to utilize $750,000 in HOME funds to provide housing rehabilitation, weatherization and energy efficiency improvements for the rehabilitation of a 20 unit, single site apartment building originally constructed in 1970 in the City of Sample. All units will have an energy audit to detail energy efficiency measures to be incorporated into the scope of work. Energy Star rated appliances, light fixtures and heating systems will be utilized. $100,000 from the City of Sample and $50,000 from other grant sources (specify) will supplement the HOME funds for a total project cost of $1,700,000.00. This project will target households at or below 80% of Area Median Income (AMI).

2B. Program Administration

2B-1. Key Staffing & Activities

Complete this section for each key staff member who will be responsible for the activities listed on the page.

1. Enter the name of the person responsible for one of the listed activities.
2. Enter the person’s title.

3. Select the person’s employer from the drop-down menu.
4. Qualifications - Describe Developer-owner specific staff experience or training relevant to the implementation of the proposed project. Include qualifications, licenses and certifications. Provide estimate of time to be committed in support of the proposed project.
5. “Activities” check list, “Other Activities” box, and “Paid with HOME Funds” do not need to be completed and are not able to be selected.
6. If the person is authorized to enter into contractual agreements and/or to request disbursements, select the applicable box (es).

After you submit information about the first staffer, the page will be re-displayed as a grid. Click the ‘Add’ button to list additional staff.

2B-2a. Procurement & Oversight of Consultants and Contractors

If consultants or contractors will perform project management functions, describe how they will be selected. Also, describe the controls the Developer-owner will maintain over consultants and contractors to ensure compliance with things such as HOME Program requirements, quality control, timeliness and cost-effectiveness.

If not applicable, select ‘Not Applicable’ in the upper-right corner.

2B-2b. Consultant/Contractor Listing

- Enter the name of the consultant/contractor that will be paid to perform project management duties.
- Enter the amount they will be paid to perform these duties.
- Briefly describe how the pay rate was determined.

After submitting information about the first consultant/contractor, the page will be redisplayed as a grid. Click the ‘Add’ button to add another.

This page will not be open for updates if the applicant selected ‘Not Applicable’ in Section 2B-2a.

2C. Supportive Services Agency Commitments

If the program elects to serve a special needs population, the Developer-owner must have a current service provider agreement that will send direct referrals of the targeted special needs population to the Developer-owner to rent the units.

The service provider agreement must be uploaded as Attachment 7 in CDOL. List each supportive service agency from which you have received a written commitment to provide services to special needs clients, or to maintain a referral system.

Provide the following information in the table: source name, a brief description of the services to be provided, the date of the written commitment, the expiration date of the commitment if applicable, and the name of the person who signed the commitment.

Service provider agreements must be attached in the applicable application attachment section, and verification may be requested by HTFC prior to entering into a contract with the Developer-owner.

After entering information about the first commitment, press submit and the page will be redisplayed as a grid. Click the 'Add' button to list additional commitments.

Click 'Not Applicable' where no supportive service agency commitments exist.

Exhibit 3 – Needs Statement Summary

PLEASE NOTE: Information provided in this Exhibit is used to determine the relative need in the project service area, as compared to those in other applications. It is not intended to measure the needs of occupants of the units to be assisted, or to identify the incomes and/or poverty characteristics of actual program beneficiaries. Applications are subject to public inspection following the completion of the funding round. Therefore, all information that is provided must be in a "blind" format. Do NOT provide information that identifies individual residents of the service area.

1. General Instructions

This exhibit has two sections:

3A. Individual Poverty:

Must be completed by all applicants.

3B. Housing Rehabilitation:

Must be completed by all applicants, even if project is new construction.

2. Data Source Recommendations

The recommended data sources for this Exhibit are set forth below, and differ for service areas comprised of entire municipalities and those that are partial municipalities (for example, a neighborhood).

For applicants who are proposing a service area comprised of an entire county, city, town, village, or census- designated place (CDP), the Census Demographic Profiles found at http://censtats.census.gov/pub/Profiles.shtml are easiest to use. Follow these steps:

1. On the webpage listed above, select New York State and enter the name(s) of the place (s) comprising your service area, then click 'Go';

2. A list of possible matches will be returned. Click on the correct place name;

3. A number of tables will be returned and listed as bookmarks on the left of the page. Click on the table corresponding to the section of this Exhibit you are completing, as follows:

   3A - Individual Poverty:
   Use Table DP-3 Profile of Selected Economic Characteristics: 2000.

   3B - Housing Rehabilitation:
   Use Table DP-4 Profile of Selected Housing Characteristics: 2000.

For applicants proposing a service area that is not an entire municipality or CDP, such as a neighborhood or a community, use Census tract data. If the boundaries of your service area are smaller than a Census tract, use block group data. This data can be found in the SF3 Data Tables found at http://factfinder.census.gov

1. Go to the website listed above;

2. Click on 'Data Sets';

3. Select 'Census 2000 Summary File (SF3) - Sample Data'. A drop-down menu will appear. Click on 'Enter a Table Number' and enter the table that corresponds to the section of the Exhibit you are completing, as follows:

   3A - Individual Poverty:
   Use Table P87 - Poverty Status in 1999 by Age.

   3B - Housing Rehabilitation:
   Use Table H34 - Year Structure Built.

3. Exhibit Instructions

3A. Individual Poverty

This section must be completed by all applicants. Enter the total number and percentage of individuals below poverty in the proposed service area on lines 1 and 2, respectively. Enter the source of the data on line 3.

3B. Housing Rehabilitation

This section must be completed by all applicants.

1. Total Number of Housing Units: Enter the total number of housing units in the service area.

2. Total Housing Units Built Before 1960: Enter the total number of housing units in the service area that were built prior to 1960.

3. Percentage of Housing Units Built Before 1960: CDOL will calculate the percentage built prior to 1960 for the service area on line 3 when you click ‘Submit’.

4. Source of Data: Select the source of the data from the drop-down menu. If the source is not included, specify the source in the field below.

3C. Homebuyer Assistance

This section does not apply. It cannot be completed.

3D. Tenant Based Rental Assistance

This section does not apply. It cannot be completed.

Exhibit 4 – Relevant Experience

Complete this Exhibit for the Developer-owner and any other organization to be involved in the proposed NYS HOME Local SRDI project, including the applicant, any organization that will develop or manage the project, and/or any consultant/contractor involved in the preparation of the application or in the management of the project.

Provide examples for up to 5 similar project that these organizations/consultants/contractors have been involved with for the past five years. Include those that are in progress, those being currently managed, or those completed during that timeframe.

Check the ‘Not Applicable’ box at the top right of the Exhibit if there is no relevant experience to report, and move on to Exhibit 5.

4A. Relevant Experience

At the top of the page, select the role of the organization/consultant/contractor (who is not the Developer-owner), or person for whom the relevant experience is being reported.

- Project Name: Enter a descriptive name for the project/program, such as *Sample Non-profit, Rental Revitalization Project 2016*.

- Contact Person Name: Provide the name of the individual who is able to provide additional details if requested by the HTFC.
- Role: From the drop-down menu, choose the role that the organization/consultant/contractor assumed in the project.
- Type: From the drop-down menu, select either “New Construction” for new construction projects or “Rehab Investor-Owner Rent” for housing rehabilitation projects.
- Contract Start/End Dates and Project Complete: Enter the month and year (mm/yyyy) that work on the project began, the month it was completed, or the expected completion date, and the percentage of project completion.
- Number of Units: Enter the total number of units assisted by the project.
- Population Served: Enter a brief description of the target populations that were served by the project, for example, Frail Elderly.
- Total Cost: Enter the total cost of the project, rounded to the nearest thousand.
- Program Funding Source: Enter the name of the primary source that provided funding for the project.
- Program Funding Agency: Enter the name of the agency that administers the funding source listed above.
- Funding Source Contact Name and Phone Number: Enter the name and phone number of the primary contact person for the project listed in the spaces provided above.
- Detail: Provide brief description of project accomplishments. Describe how this experience is relevant to the proposed project, and address project management issues, delays or monitoring findings.

When all required data has been entered, click ‘Submit’ and the data will be redisplayed in a grid format. To add another record, click the ‘Add’ button at the bottom of the grid and repeat the steps listed above.

Exhibit 5 – Budget/Financing Plan

5A. Sources of Funds

NYS HOME Local Program Pro Forma Budget Workbook and Instructions

Please refer to the NYS HOME Local Pro Forma Budget Workbook, available on the website at *http://www.nyshcr.org/Funding/SRDI/* for instructions and requirements to create the project budget to upload as CDOL Attachment 4. The totals from SRDI pro forma budget workbook Tab 6, Development Budget must be used to fill in the budget line items in CDOL Exhibit 5B.

Once the pro forma is completed, add each source of financing for the project in this exhibit. The total sources with the financing types (permanent, construction, both or other), as described below, must equal the Total Program Cost for all outlined in Section 5B of this Exhibit. **An entry for NYS HOME Local Program funds must be added to complete the total project budget.**

- Source: Select the funding source name from the drop down list. Funding sources are listed according to source type (HCR/HTFC, Federal Government, Local Government, Non-HCR State Government, and Private). If a specific funding source is not available, each source category has a generic source code that can be selected (for example, 'Federal Program – Other'.

- Specify Source: If any of the funding sources in the drop-down menu are followed by 'Specify', the applicant must enter the source name, program, lender, etc. in this space.

- Funds Requested: Enter the amount of funds to be contributed by the source.

- Financing Type: Select the type of financing from the drop-down menu: construction, permanent, both (both construction and permanent) or other. Please note if using other sources of funds: Only a choice of "Permanent" or "Both" will allow for program cost entries in the "Other Funds" column in "5B Program Costs."

- Assistance Type: Select the assistance type from the drop-down menu: loan, grant or other.

- Financing Term: If applicable, enter the number of months or years of the financing term.

- Financing Term Type: If a Financing Term was provided, select either months or years, otherwise select 'Not Applicable'.

Click the 'Submit' button for the first source, and the page will be redisplayed as a grid. To add another funding source, click the 'Add' button at the bottom of the grid and repeat the steps outlined above. Please note that if you submit a source of funds with an incorrect fund "Source" identified, your only option is to delete the source and redo it. Editing the "Source" field is not possible.

5B. Project Costs

Please refer to the NYS HOME Local Pro Forma Budget Workbook and Instructions are available on the website at *http://www.nyshcr.org/Funding/SRDI/* for instructions and requirements to create the project budget to upload as CDOL Attachment 4. The totals from SRDI pro forma budget workbook Tab 6, Development Budget must be used to fill in the budget line items in CDOL Exhibit 5B.

For this activity, Developer-owners do not invoice the HTFC for Administrative Costs or Staff Costs of Project Delivery therefore, the boxes cannot be selected.

Developer-owners invoice the HTFC for developer fees, **which for SRDI, is a maximum of up to 23% of the total of HOME funds requested.**

Provide a line-item breakdown of all costs associated with the proposed project as follows:

- Under the column titled ‘HOME funds’ enter the total amount to be paid with HOME funds.

- Under the column titled ‘Other Funds’, enter the total amount to be paid with funds other than the HOME.

Upon clicking the ‘submit’ button, CDOL will add the columns together and display the total in the column titled ‘Total Cost’. It will also calculate the total cost per unit in the column ‘Cost/Unit.’

To fill out this exhibit, budget line item amounts for project costs, project soft costs and developer fees are determined from the completed SRDI pro forma budget workbook Tab 6, Development Budget.

1. Project Costs

2. Project Soft Costs

3. N/A

4. N/A

5. Developer Fee

6. Total: CDOL will total the amounts entered in lines 1 through 5.

5C. Budget Narrative

An applicant must use this field to explain the project budget. Please be specific, and list each source in a consistent format. This explanation of the project budget must be consistent with the required CDOL Exhibits 5A, 5B, and the Pro Forma Budget Workbook uploaded as Attachment 4. If a source is identified as committed, the applicable funding commitment letter must be provided in Attachment 3. More specifically:

- Identify the total project cost and describe each source of committed funds and proposed use(s).

- Identify sources and amounts of available construction financing.

- Identify if there are funds not able to be committed in this application, but that may be committed prior to August 2017 and include written explanation on the Applicant’s letterhead and upload in Attachment 3 “Funding Commitment Letters.”

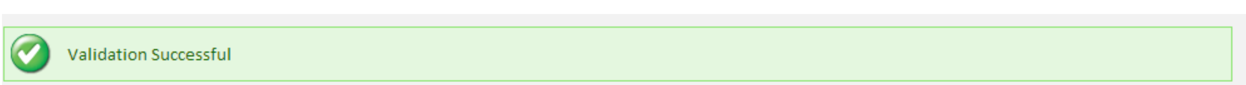
IV. Validating Application Exhibits

An application must pass a series of validations before the application exhibits can be certified and submitted. To validate the application, return to the Menu using the navigation links at the top left corner of the screen. Click 'validate' to the right of the application name.

The Validate Application screen will be displayed. Click 'Validate' again to begin the validation process. The validation process is done in 3 steps:

- Step 1 checks to confirm that all required Exhibits have been entered.
- Step 2 checks to confirm that all required Exhibits are complete.
- Step 3 checks to confirm that the information entered is consistent across Exhibits.

If any incomplete Exhibits, fields, or inconsistencies are found the applicant will receive the message: "Validation failed, please make the necessary corrections.” Below this message, an explanation(s) of the problems found during the validation process will be displayed. Return to the Exhibits identified and complete them and/or correct the inconsistencies found. Each problem listed will have a link that will return the user to the applicable Exhibit. If there are a number of errors, it is suggested that the applicant select the 'Print' button in the Banner. This will open a new window to display and reference the error messages. The applicant must continue the validation process until the message "Validation Successful" is displayed.

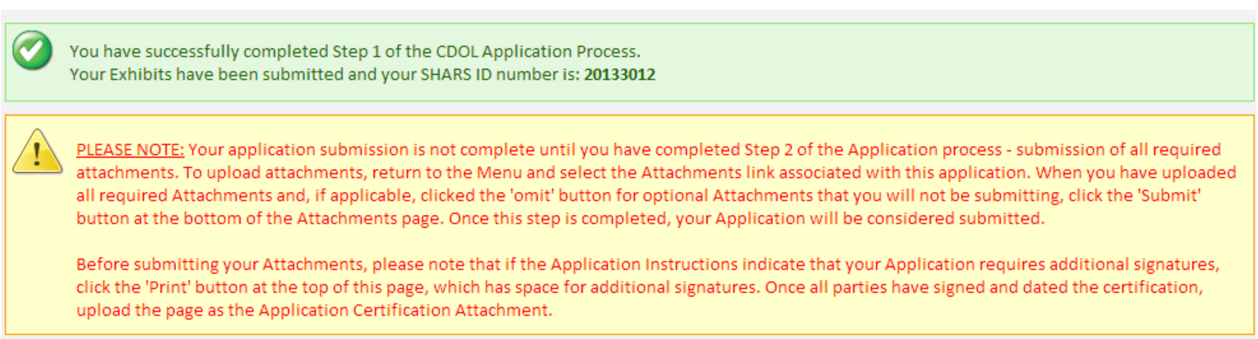


V. <u>Applicant/Developer-Owner Certification</u>

A. Certifying Application Exhibits

Please Note: Once the application is certified, the application cannot be changed.

After successful validation, the 'Certify' link will be made available to users with the authorization to certify the application. If the person completing the application is not the person authorized on the Security Manager Designation Form to electronically certify the application, the person who is authorized must sign into CDOL to complete this step. The only way to get the 'Certify' link is to run a successful validation. If the validation is completed, but the application is not certified, the validation will have to be run again.
To electronically certify and submit the application exhibits, click the 'Certify' link on the Validation page. At the bottom of the Applicant/Owner Certification enter the password and title, and click the 'Submit' button. If the certification and submission was successful, CDOL will display a message acknowledging successful submission of the Exhibits or Step 1 of the CDOL Application Process. This message will also provide the application SHARS ID number, which will be used to identify the application. An e-mail message will also be sent confirming successful submission of the application <u>exhibits</u>. This will change the application status from “In Progress” to “Certified.” **<u>Additional steps are required to complete and submit the application.</u>**



A new window will open showing the completed application. Please save a copy electronically and print a copy for the applicant’s records.

Return to the main menu using the navigation links at the top left corner of the screen. Now that the application exhibits are certified and submitted, click on the 'Attachments' link next to the application on the main menu. The ‘Attachments’ link will transfer the user to the Upload Attachments process.

Please Note: An application will not be considered complete until all required attachments are uploaded, submitted and certified. **Any portion of the application exhibits or attachments that have not been submitted by the deadline specified will not be accepted.**

VI. Application Attachments and Instructions

***Located at* http://www.nyshcr.org/Funding/SRDI/**

A. Instructions

Attachment 1 – Small Rental Development Initiative (SRDI) Project Management Plan/Management Plan Question Responses (Required)
Applicant must review the SRDI Project Management Plan and respond to the Management Plan questions located on the website noted above. Also see RFP for more details. **For this attachment upload the Management Plan Question Responses** document **only, the SRDI Project Management Plan does not need to be uploaded as an attachment.**

Attachment 2 – ~~NYS HOME Local Program Budget Worksheet (Required)~~
CDOL has this as a "required" attachment, but this is NOT REQUIRED and is not applicable to this application. **For this attachment upload a blank page word document to satisfy the CDOL requirement so you can move on to upload the next attachments.** If you do not upload *something*, CDOL will not let you submit your application.

Attachment 3 – Funding Commitment Letters
Attach documentation for each funding source other than HOME identified in Exhibit 5A – Sources of Funds. If a source is identified as committed, the applicable funding commitment letter must be provided. If it will be committed prior to August 2017, include written explanation on the applicant's letterhead. To complete the application, applicants must select 'omit' if attachments will not be uploaded.

Attachment 4 – Pro Forma Budget Work Book (Required)
The Small Rental Development Pro Forma Budget Workbook and Instructions are available on the website referenced above. **The completed Workbook must be uploaded for this attachment.**

Attachment 5 – Site Control Documentation (Required)
Developer-owners must demonstrate site control for the proposed project. **Applicants must submit current ownership documentation such as a deed or future ownership documentation such as an executed option for purchase in this attachment.**

Attachment 6 – Green Building/Energy Efficiency Supporting Documentation
Applicants are encouraged to produce green, energy efficient and accessible housing. See the SRDI Project management Plan for more

details. **If your project proposes to produce this type of housing, upload supporting documentation as required.** To complete the application, applicants must select ‘omit’ if attachments will not be uploaded.

Attachment 7 – <u>Supportive Services Agency Commitments</u>

If the application includes service provider information entered in Exhibit 2C, supporting documentation must be uploaded as part of this attachment for each Supportive Services Agency Commitment identified. To complete the application, applicants must select ‘omit’ if nothing was entered in Exhibit 2C and attachments will not be uploaded.

VII. Uploading & Certifying Attachments

A. Uploading Attachments

Return to the Menu, then click on the ‘Attachments’ link to the right of the application name. This link will access the Attachment Upload window. The Attachment Upload page lists the applicable attachments for the application.

To the right of each listed attachment is an 'Add' link. Click the 'Add' to begin to attach files. Select the 'Browse' button to browse for the file to be uploaded. After locating and selecting the file, click the 'Upload' button to begin the upload. A progress bar will display the progress of the upload. Once complete, the applicant will be redirected to the main Attachment Upload screen. The uploaded file name will be displayed under the attachment.

To the right of each uploaded file will be two links: 'View' and 'Delete'. 'View' allows the applicant to view and optionally print the file to verify that the correct document is attached. 'Remove' allows the applicant to delete the file prior to submission.

Attachments that are not required will have an 'Omit' link. Applicants must click the 'Omit' link if an optional attachment will not be included.

An applicant may upload multiple files for each attachment. Please limit the uploaded files to those documents specifically requested in the Attachment Instructions. Whenever possible, combine multiple files into one. All required attachments must be uploaded before the group of attachments can be submitted.

B. Submitting and Certifying Application Attachments

When all required application attachments have been uploaded, the organization’s authorized signatory must log-in and click ‘Submit’ on the Attachment Upload page. CDOL will display an ‘Attachment Receipt’ then an ‘Attachment Certification’ which must both be clicked in order to complete the submission. Once complete, a message will appear at the top of the screen indicating that the application attachments have been successfully submitted, and the application process is complete. Once the attachments have been submitted, the HOME Local SRDI Application is complete and may not be changed.

Return to the main menu using the navigation menu in the top left corner of the screen. Now that the application exhibits and attachments are complete, submitted and certified, the Application Status next to the application name should indicate Completed.

NYS HOME Local Small Rental Development Initiative (SRDI) application exhibits and attachments must be submitted via the CDOL system by 3:00 PM (EST) Wednesday May 10, 2017. Applications and supplemental materials will not be accepted after the stated deadline.