New York State
COMMUNITY DEVELOPMENT
BLOCK GRANT PROGRAM

2022 HOUSING ACTIVITIES
APPLICATION INSTRUCTIONS
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2022 CDBG Housing Activities – Application Instructions
CDOL INSTRUCTIONS

The submission of a CDBG Program application via CDOL requires five steps:
✓ Completing five online application exhibits.
✓ Validating online application exhibits.
✓ Certifying and submitting online application exhibits.
✓ Uploading and submitting or omitting attachments; and
✓ Certifying attachments

REGISTERING APPLICANT & SECURITY MANAGER

Please review the following to be sure that your organization is prepared to use the CDOL system.

To use CDOL, applicants must: be registered in the New York State Homes and Community Renewal (HCR) Statewide Housing Activity Reporting System (SHARS) and 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 can update the organization’s applications. Security Managers may go into CDOL system and add or remove users for their organization. All required forms are available on HCR’s website.

- If your organization has not previously applied to HCR for funding: Submit an Applicant Registration Form so that you may be registered as a SHARS Applicant. This form also contains a section where you may designate a Security Manager for your organization. HCR staff will register your organization and Security Manager and you will be e-mailed a USER ID and password to access CDOL.

- If you are a registered SHARS applicant, but you have not registered to use CDOL: Submit a Security Manager Registration Form to HCR, which will allow you access to CDOL. Complete and return the Security Manager Registration Form with an original authorized signature to the address specified on the form. Once processed by HCR, you will be e-mailed a User ID and temporary password to access the CDOL system.

- If your 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. If you have forgotten your password, you may go to CDOL and enter your USER ID and e-mail address and you will be e-mailed a new password. If you have changed your e-mail address since you first registered as a CDOL user, and you cannot remember your password, or if you have forgotten your USER ID, please send an email to msr@nyshcr.org for assistance.

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 your 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 your 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.
4. Applicant inquiry allows the user to view but not change the application.
5. Applicant update allows the user to make changes to the application.
6. Click the box that reads ‘Authorized to Sign Certification’.
7. Click the box next to the organization name. Then click ‘Submit’.
8. 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 the CDOL, complete the certification, and submit the application exhibits. Required application attachments must also be certified prior to submission.

**VERIFYING APPLICANT INFORMATION**

Prior to beginning a new application using the CDOL system, an applicant must verify and update organization information if necessary. 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 HTFC. It is important for HCR and HTFC to know where to mail potential award and contract materials.

You may update your organization information in CDOL at any time for HCR’s database, but you may not change the organization information included on your application once it has been submitted.

CDOL Applicant Information Fields to review and verify:

A. **General Applicant Information**
   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. **Type of Applicant**
   Select each applicable applicant type. If applicable, add or correct the date of the non-profit applicant's legal incorporation.

C. **Phone and Internet Data**
   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. The primary mailing address should be provided for correspondence related to this application and subsequent funding decision or contract correspondences. Provide alternate addresses in Section D2.

E. **Primary Contact**
   If necessary, edit the name, title, phone number, 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. It is recommended that an organization provide a primary contact who is authorized to execute contract materials on behalf of the organization.

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. Once the information is entered, press ‘Submit’ at the bottom of the screen.

**COMPLETING APPLICATION EXHIBITS**

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.
- Select ‘CDBG Program’ from the ‘Application Type’ drop-down menu.
- Press ‘Submit’ button.
- A table of contents will be displayed with a list of all NYS CDBG Program Application Exhibits broken down by individual screens in CDOL. Instructions for completing each exhibit follow.
- Application Exhibit Navigation
- Complete the required fields for each Exhibit as explained below in the detailed instructions that follow. 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 you 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 instructions to correct the error(s) and press ‘submit’ again.
- Once you receive the message notifying you that the ‘Updates have been successfully saved,’ 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 in the top right of the screen, or the Menu and Exhibit List links in the top left of the screen. If an applicant uses the browser back and forward buttons, application information may be lost.

The submission of a CDBG Program application via CDOL requires five steps:

✓ Completing five online application exhibits;
✓ Validating online application exhibits;
✓ Certifying and submitting online application exhibits;
✓ Uploading and submitting or omitting attachments; and
✓ Certifying attachments
A. APPLICATION INSTRUCTIONS

Submission Instructions

Applicants seeking NYS CDBG funding for housing activities (housing rehabilitation, homebuyers down payment assistance, private water/wastewater) must apply for funding through the 2022 Office of Community Renewal Housing Resources Funding Opportunities Application. The 2022 Application for CDBG Housing Activities will be available on the NYS Homes and Community Renewal web site on Wednesday, May 11, 2022. Applications will be accepted through 4:00pm Friday, August 26, 2022.

Applications must be submitted using the Community Development Online Application System (CDOL).

The above-stated application deadline is firm as to date and hour. In the interest of fairness to all competing applicants, applications received after the specified date and time will be deemed ineligible and will not be considered for funding. Applicants should make early submission of their applications to avoid risks of ineligibility resulting from unanticipated delays or other e-delivery-related problems.

Applicants may make a request, based on demonstrated need, to submit a paper application in lieu of using the CDOL application system. Requests for approval to submit a paper application must be sent to: Crystal Loffler, Deputy Commissioner, NYS Homes and Community Renewal, Office of Community Renewal, 4th Floor South, 38-40 State Street, Albany, NY 12207.

The submission of a CDBG Program application via CDOL requires five steps:

✓ Completing five online application exhibits.
✓ Validating online application exhibits.
✓ Certifying and submitting online application exhibits.
✓ Uploading and submitting or omitting attachments; and
✓ Certifying attachments
B. Submission Checklist

Applicants should use the Submission Checklist below when putting their application together (content and order). This list is not all inclusive; therefore, Applicants may need to include additional materials in their application.

A complete CDBG application in CDOL includes:

Five (5) exhibits:
1. Exhibit 1 – Application Summary
2. Exhibit 2 – Program Summary
3. Exhibit 3 – Proposal and Activity Detail
4. Exhibit 4 – Relevant Experience
5. Exhibit 5 – Budget/Financing Plan

Up to eleven (12) attachments
1. Applicant/Recipient Disclosure/Update Report* [required]
2. Certification Form* [required]
   a. The original Applicant/Recipient Disclosure/Update Report and Certification Forms MUST be retained by the Applicant with a hard copy of the application
   b. Do not mail any original forms to OCR unless otherwise instructed
3. Vendor responsibility Questionnaire [refer to RFA]
4. Citizen Participation Documentation [required]
5. Affirmatively Furthering Fair Housing and Supporting Documentation [required]
6. Program Income Report [required]
7. Section 3 Compliance Plan [refer to RFA]
8. Sample of Housing Conditions Survey/ Cost Estimates (at least 3) [required for all rehabilitation]
9. Funding Commitment Letters
10. Letters of Community Support
11. Confidential Materials
12. Other Uploads (ERR, planning excerpts, Contractor list, other third-party supporting documentation)

The submission of a CDBG Program application via CDOL requires five steps:

- Completing five online application exhibits.
- Select “Submit” button when completing each section.
- Validating online application exhibits.
- Certifying and submitting online application exhibits.
- Uploading and submitting or omitting attachments; and
- Certifying attachments
EXHIBIT 1 – PROGRAM SUMMARY

1A. GENERAL PROJECT INFORMATION

Funds Requested & Activities
Enter a Project Name, for example, The Village of Upstate Owner-Occupied Housing Rehabilitation Program.

Select the Proposed Activity/Uses of Funds
➢ Single Family Housing Rehabilitation
➢ Multi-Family Housing Rehabilitation (buildings contain 2-4 units)
➢ Multi-Family Housing Rehabilitation (buildings contain 5 or more units)
➢ Manufactured Home Replacement
➢ Homebuyer Down Payment Assistance
➢ Residential Water & Wastewater Activities/Laterals

Enter total CDBG funds requested, this includes all administration, program delivery and construction costs.

Program Compliance
Citizen Participation enter that date as requested for the required public hearing. Please note, an Affidavit of Publication and copy of the published legal notice must be uploaded, see Attachment 4

1B. APPLICANT INFORMATION

Applicant Name*, confirm this is correct

Type of Applicant*, confirm this is correct

Federal EIN*, confirm this is correct

DUNS Number enter the municipal DUNS number, this is required for all municipalities. A DUN’S number can be obtained from www.dnb.com or by calling 1-800-234-3867.

Fiscal Year End Date*, confirm this is correct

Official mailing address*, confirm this is correct

*This information was retrieved from the Applicant CDOL Registration

Enter all information as required for the following:
➢ Chief Elected Official
➢ Primary Applicant Contact Person (this must be a municipal employee other than the CEO)
➢ Application Preparer
➢ Grant Administrator

1C. PROGRAM LOCATION

Location Information

Location Type, select from the dropdown list

Enter street address for single site project.

Project County, select from the dropdown list

The question “Will the project be County wide?” should only be answered when the applicant is a County.
If program is not county-wide, identify all municipalities proposed to be included, select from dropdown list. **Regional Council** select from the dropdown list. Contact OCR if the Regional Council is not known.

**Census Tract(s)/Block Groups of Location**

Enter the census tract and/or block group, find your location [here](#).

**Latitude & Longitude**

Please refer to the [Click here](#) for assistance.

**1D. POLITICAL DISTRICTS**

Enter information as requested from the dropdown lists for:

- New York State Assembly District(s)
- New York State Senate District(s)
- New York State Congressional District(s)

**1E. SPECIAL NEEDS POPULATION**

If the proposed activity will target any special needs population, provide the total number of units proposed by type.

If there are no special needs populations targeted, enter the total number of units on the first line, *No Target Population (or Unknown)*

For any Special Needs Population to be targeted, enter the total number of units on the respective line. Leave all untargeted populations blank, do not enter a zero (0) on any line.
EXHIBIT 2 – NEEDS STATEMENT

2A. COMMUNITY DESCRIPTION (Answer all the following questions)

Part I
Text will be limited to 4,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

a. Briefly describe the outcomes of any needs assessment, survey, comprehensive, strategic and/or community plans, including the dates of the survey and plans and whether the plan(s) was adopted by the community. Do not submit the plan with your application.

b. Describe the need(s) to be addressed by the proposed project. The description must provide sufficient detail to clearly describe the need(s) to be addressed in terms of the nature, scope, location.

c. Provide a description of the overall housing conditions within the area targeted for assistance. Current conditions should include (quantifiable terms such as the condition of the housing, private water/wastewater systems, lack of homeownership opportunities) the extent of the problem including the percentage of severely substandard units within the community and past efforts to resolve the need(s) and any limitations on funding or other resources to address identified issues.

Part II
Text will be limited to 4,000 characters, 1 page of 12-point Times New Roman single spaced text is approximately 4,000 characters.

d. Explain how the proposed project will support or complement other public (federal, state or local) programs such as public infrastructure, public works and public facilities; housing; economic development and main street revitalization, particularly those that benefit directly or indirectly benefit LMI persons.

e. Include any third-party supporting documentation as an attachment. Do not include full planning documents, only relevant excerpts.
EXHIBIT 3 – PROPOSAL AND ACTIVITY DETAIL

3A. PROGRAM ABSTRACT

Text will be limited to 1,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

Provide a brief abstract of the proposed program. 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, CDBG program request amount, estimated total project cost, other sources of funding, main goal(s) of the program and activities CDBG funds will be used for.

Sample text: The Village of Upstate will use $400,000 in NYS CDBG funds to provide housing rehabilitation assistance to low-income homeowners. Assistance will be provided in the form of a grant to eligible homeowners to make improvements such as energy efficiency, electrical upgrades and other health and safety repairs.

3B. PROJECT/PROGRAM DESCRIPTION

Part I

Text will be limited to 2,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

a. Provide a detailed description of each activity proposed including quantifiable information and any unique aspects of the proposal, the impact of the project to the community at large including the beneficiaries of the project. Examples of quantifiable information are the number of grants and loans to be issued and the terms and conditions, and, number, size and type of buildings/homes/laterals, etc.

b. If the proposed project has identified targeted special needs populations for assistance, provide a detailed description of how the program will be made available. Describe how the program will actively incorporate special needs populations in the proposed housing program.

Part II

Text will be limited to 2,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

c. Describe how the project will be implemented to ensure the goals and impact identified in the application. This includes a description of how the contract execution will occur within 45 days of award, completed Environment Review Record and Request for Release of Funds within 60 days of award, and first disbursement within 180 days of award. Where applicable, explain how the project reduces risks to the health, welfare, or safety of the beneficiaries. Describe how energy conservation, and emergency back-up is incorporated into the program design, such as tankless water heaters, low flow showerheads, energy efficient lighting, electrification (in the form of moving the unit to all electric), and generator back-ups and hookups.

Part III

Text will be limited to 2,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

d. Describe the method used to determine the best approach and cost-effective method to address the need.

• List the sources and dates of third-party cost estimates including any special features that will result in an unusual or a costly design

• Cost estimates must be no more than 18 months old and specific to the project being proposed. Cost estimates must be uploaded as attachments

• Provide a brief description of the qualifications of the person responsible for preparing the cost estimates.

• Provide a brief description of the existing contractor pool and a description of the methods for maintaining the contractor pool. The contractor list must be uploaded as an attachment. Applicants that do not provide a sufficient pool of contracts on the list may be deemed not ready to proceed with the project.
Part IV
Text will be limited to 2,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

e. Describe any efforts taken to secure alternative or additional funds from other public and private sources. Have other OCR housing resources such as Access to Home, RESTORE, HOME and weatherization been pursued to support this proposed program? If other resources have not been pursued, provide a brief explanation. Funding commitment letter must be uploaded as attachments.

Part V
Text will be limited to 2,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

f. Explain the positive impact of the NYS CDBG funds on the total cost of the project and to the beneficiaries of the project and why NYS CDBG funds are required to carry out the proposed activity.

Part VI
Text will be limited to 2,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

g. All projects undertaken, regardless of the source of funds, will incur activity costs related to Program Administration, Program Delivery and Engineering.

• Provide the amount of program administration and/or program delivery funds allocated to the project from the State CDBG funds requested. Provide a description of how the funds will be allocated to cover the costs of program administration and program delivery, as well an explanation of overall program administration and program delivery tasks to be undertaken and how these activities will be funded.

• Description must be included of the roles of any consultant, subrecipient or individual involved in program administration and program delivery.

• A clear delineation must be included of the activities to be undertaken for program administration and for program delivery.

• All sources of funds must be identified that will be used to cover program administration and program delivery expenses, including but not limited to CDBG, and other local State and Federal funding.

• The description of the program administration and program delivery services to be provided are to cover the entire scope of the project, not only the CDBG funded portion. Even when these services are proposed to be provided through non-CDBG sources and are to be used to cover any portion of, or all the program administration and program delivery costs, a clear description of these services must be provided.

• Provide a clear description of tasks and services related to Program Administration, Program Delivery and Engineering. Include a description of how these costs were determined. This must be provided, regardless of the source of funds.

• For proposed projects requesting CDBG funds these costs, please note that the budget for Program Administration cannot exceed 5% of the total CDBG request and the total for Program Delivery and Engineering combined cannot exceed 13% of the total CDBG request.

• Failure to provide a comprehensive accounting and description of the program administration and program delivery services as outlined may result in a loss of points awarded.
(Single Unit, Multi-Family, Standalone Water, Manufactured Housing Replacement)

Part I
Text will be limited to 5,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

   a. Describe the eligibility requirements and selection process for applicants including the process for verifying participant eligibility, prioritizing eligible applicants, eligible properties and activities.
   b. Include any unique program design features or additional support provided to the applicants and/or beneficiaries that may improve the likelihood of success and long-term sustainability.
   c. Indicate the amount and describe the form of subsidy to be provided (e.g., loans, grants, deferred loans, etc.) including the proposed maximum grant or loan to be provided and match requirements.

Part II
Text will be limited to 4,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

   d. Describe the regulatory terms and conditions, and the means of securing compliance during the regulatory term (e.g., lien). Refer to the Request for Application for details
   e. Describe the outreach efforts conducted and the marketing plan to be implemented.

Part III
Text will be limited to 4,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

   f. To determine the condition of the housing in the project area proposed for rehabilitation, applicants need to conduct a housing conditions survey. Typically, this is carried out by a skilled Rehabilitation Specialist. Describe the familiarity with building codes, Housing Quality Standards and housing construction that were utilized to assess the condition of a house to determine the level of substandardness.

Part IV
Text will be limited to 8,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

   g. Applicants must substantiate the level of substandardness for housing being considered for funding using the definitions of housing conditions located in Appendix G, Determination of Substandard.
      - Provide a summary of the housing conditions survey
      - Provide a description of the houses that are of substandard or dilapidated condition, and a summary of the overall results of the survey including, but not limited to:
         - The number of units in the project area.
         - The number of units surveyed.
         - The number of units surveyed that are rental or owner occupied.
         - The number of units that meet the conditions: standard, severely substandard, moderately substandard, and dilapidated.
         - The number of units surveyed that are occupied by LMI persons for each housing condition.
         - The number of vacant units for each housing condition.
         - Other blighting conditions within the project area; and
         - A representative sample of the housing surveyed including details of the condition of the housing unit(s) (e.g., leaking roof, exposed wiring, foundation cracked).

Part V
Text will be limited to 8,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

   h. Include a description of any potential impediments to timely commencement and completion of the project, such as extensive environmental concerns or the need to acquire easements on private
Provide a description of a plan of finance that demonstrates that with NYS CDBG funds, the proposed project is 100% funded with all commitments in place. Identify and explain any components of the proposed project that have been started as of the submission of this application, as well as any subsequent activities that are part of the total project. Indicate the actual or anticipated start and end dates for all the activities. Please note: Projects must clearly demonstrate the ability to implement the project upon award. At a minimum, provide a clear, concise narrative description of project readiness and how substantial progress will be accomplished. Substantial progress includes but is not limited to:

- The ability to publish the NOIRROF or FONSI/NOIRROF within 60 days of award
- Demonstrate that ability for the project to go out to bid, have contracts awarded and be under construction within six (6) months of the date of award

Factors such as completion environmental review, agency and regulatory review, final design, permitting and description of the bidding process must be addressed. Projects that do not provide the clear ability to make substantial progress within six (6) months may not be considered for funding. must substantiate the level of substandardness for housing being considered for funding using the definitions of housing conditions located in Appendix G, Determination of Substandard.

i. Provide a clear, concise schedule of milestones that demonstrates how the entire proposed project can be completed within the 24-month time frame provided. Indicate the actual or anticipated start and end dates for all the activities. Describe the status of the project. Pursuant to the NYS CDBG Program, applicants should only apply for project funding and activities that can be fully completed within the specified project completion period of twenty-four (24) months. Applicants should not proceed with a project that cannot be completed within the specified timeframe or with the assumption that an extension of the project deadline will be considered.

j. If any project has a unit that is estimated to have rehabilitation costs that is greater than 75% of the assessed value describe the process of rehabilitation versus replacement.

### 3C2. HOUSING REHABILITATION PROPOSAL Multi-Family Units Only

Text will be limited to 2,500 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

a. For housing rehabilitation projects that include rehabilitation of multi-family properties that have 2-4 units, describe the method used to determine and sustain affordable rents.

b. For all projects proposing 5 or more units of rehabilitation, include a description on meeting the OCR Fair Housing—Equal Opportunity-Affirmative Marketing Policy (include link)

### 3C3. HOUSING REHABILITATION STANDALONE WATER

Text will be limited to 2,500 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

a. For housing rehabilitation projects that are proposing to do well and septic only, provide a brief description of how this will be carried out and include a description of how all other housing rehabilitation needs may be addressed.

### 3C4. HOUSING REHABILITATION PROPOSAL MANUFACTURED HOUSING REPLACEMENT

Text will be limited to 4,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

a. Describe how the proposed manufactured home replacement program will be in compliance with 24CFR Part 32.82.

b. Manufactured housing in NYS receiving or utilizing Agency subsidies must be provided, constructed and/or installed by a company which has been reviewed and approved by NYS Building Standards and Codes, which is a division of the Department of State. Describe the process of certifying that only NYS
Certified Manufacturers, Retailers, Installers and Mechanics of Manufactured Home will be utilized. Provide a description of how NYS Residential Building Code will be met.

- Proposed manufactured housing proposals are strongly encouraged to review Appendix J. Manufactured Housing Replacement Guidelines and Appendix L. Definition of Substandard Housing

3C5. **Activity Detail**

**Benefit to Low- and Moderate-Income (LMI) Persons:**
Applicants must demonstrate that housing units to be assisted are occupied by low- and moderate-income persons or, in the case of multi-unit rehabilitation that at least 51% of the units are occupied or will be occupied by low- and moderate-income persons.

Additional information on National Objective Compliance can be found online.

If satisfactory demonstration of compliance with a National Objective is not provided, the proposed activity will be considered ineligible and will not be considered for funding.

**National Objective Documentation for LMI Persons**

- Household Income (LMH) – For all housing activities, the household occupying the assisted unit must be determined to be low/moderate income at the time of assistance. This is most frequently accomplished by gathering all income sources and projecting future income over the next year. HUD provides an online income calculator. For multi-unit properties, at least 51% of the assisted units must be occupied by low/moderate income households.

3D1. **Homebuyer Down Payment Assistance Proposal**

For all projects that combine homebuyer down payment assistance with housing rehabilitation, the appropriate housing rehabilitation, Section 3C. Housing Rehabilitation Proposal must be completed and submitted.

**Part I**

Text will be limited to 4,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

a. Describe the eligibility requirements and selection process for applicants, including the process for verifying participant eligibility, prioritizing eligible applicants, eligible properties and activities. Include any unique program design features or additional support provided to the applicants and/or beneficiaries that may improve the likelihood of success and long-term affordability and sustainability, e.g. counseling, mortgage products, savings programs.

b. Discuss how the availability of other programs offered by OCR housing partners (SONYMA, AHC, HOME, etc.) is included in any pre-purchase counseling curriculum.

**Part II**

Text will be limited to 4,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

c. Indicate the amount and describe the form of subsidy to be provided (e.g., loans, grants, deferred loans) including the maximum grant or loan to be provided and match requirements. Describe the regulatory terms and conditions, and the means of securing compliance during the regulatory term (e.g., lien).

**Part III**

Text will be limited to 4,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

d. Describe the outreach efforts conducted and the marketing plan to be implemented. Outreach efforts can typically result in a pool of interested homebuyers or a waiting list, please include the number of households determined qualified/eligible to receive assistance, that have received pre-purchase
counseling, and the number pre-approved for mortgage financing.

Part IV
Text will be limited to 4,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

e. Describe the current target real estate market. Specifically outline the number of homes available by type (single-family, two-family, etc.).

Part V
Text will be limited to 4,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

f. Of the homes available, describe the availability of homes affordable to LMI households and explain how the affordability range was determined.

3D2. HOMEBUYER DOWN PAYMENT ASSISTANCE ACTIVITY DETAIL

Benefit to Low- and Moderate-Income (LMI) Persons:
Applicants must demonstrate that housing units to be assisted are occupied by low- and moderate-income persons or, in the case of multi-unit rehabilitation that at least 51% of the units are occupied or will be occupied by low- and moderate-income persons.

Additional information on National Objective Compliance can be found online.

If satisfactory demonstration of compliance with a National Objective is not provided, the proposed activity will be considered ineligible and will not be considered for funding.

National Objective Documentation for LMI Persons

- Household Income (LMH) – For all housing activities, the household occupying the assisted unit must be determined to be low/moderate income at the time of assistance. This is most frequently accomplished by gathering all income sources and projecting future income over the next year. HUD provides an online income calculator. For multi-unit properties, at least 51% of the assisted units must be occupied by low/moderate income households.

EXHIBIT 4 – RELEVANT EXPERIENCE

4A. RELEVANT EXPERIENCE

Beginning with the applicant, please provide up to five entries for each organization for similar projects/programs completed by the applicant or related program administrator or Subrecipient over the past three to five years.
Indicate which organization involved in the local program this section is being completed for
• Select from dropdown list

Program Name
Program Administrator/Contact Person Name
Role
• Select from dropdown list
Type
• Select from dropdown list
Contract Start Date
Contract End Date
Percentage Complete:
Number of Units:
Population Served:
Total Cost
Program Funding Source
Program Funding Agency
Funding Source Contact Name
Funding Source Contact Phone

For requested detail below, text will be limited to 1,000 characters, 1 page of 12-point Times New Roman single-spaced text is approximately 4,000 characters.

➢ Provide brief description of project accomplishments.
➢ Describe how this experience is relevant to the proposed program.
➢ Address any grant administration problems, delays or monitoring findings.

EXHIBIT 5 – BUDGET/FINANCING PLAN

5A. SOURCES OF FUNDS

➢ Source
• Select from the dropdown list
➢ Specify Source
• Federal
• State
• Local
• Private
• Other
➢ Amount
• Specify amount from each source committed to this project
➢ Assistance Type
• Select from dropdown list
➢ Funding type
• Select from dropdown list
➢ Status
• Select from dropdown list
➢ For each source of funds, enter commitment information (Date of Letter & Signatory) and provide a copy of the commitment letter as an attachment.

NOTE: The requested CDBG funds must be included as a source in this exhibit.

5B. PROGRAM COSTS

1. Engineering Costs
2. Single Unit Rehabilitation Costs
3. Single Unit Program Delivery
4. Multi-Unit (2-4-unit building) Rehab Costs
5. Multi-Unit (2-4-unit building) Program Delivery
6. Multi-Unit (5+ unit building) Rehab Costs
7. Multi-Unit (5+ unit building) Program Delivery
8. Standalone Water/Wastewater/Laterals
9. Water/Wastewater/Laterals Program Delivery
10. Manufactured Housing Replacement Costs
11. Manufactured Housing Replacement Program Delivery
12. Homebuyer Down Payment Assistance (Homeownership Assistance)
13. Homebuyer Down Payment Assistance Program Delivery (Homeownership Assistance Program Delivery)
14. Administration
15. Total Program Delivery (Lines 3, 5, 7, 9, 11, 13)
16. Total Direct Assistance (Lines 1, 2, 4, 6, 8, 10, 12)
17. Total All Costs (Lines 14, 15, 16)

5C. BUDGET NARRATIVE

➢ Explain the project budget.
  • Please be specific and list each source in a consistent format, this must be consistent with the required Sources and Uses budget tables.
  • If a source is identified as committed, the applicable commitment letter must be attached where requested in the application.
  • Specifically, identify the total project cost; identify each source of funds and proposed use(s); for each source identified, indicate whether the source is formally committed or pending approval and include all source documentation.
  • Explain how the proposed project will proceed if the pending sources are not secured.

SCHEDULE OF ATTACHMENTS

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
<th>Note</th>
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<tbody>
<tr>
<td>1</td>
<td>Applicant/Recipient Disclosure/Update Report [required]</td>
<td>Original must be retained by the applicant</td>
</tr>
<tr>
<td>2</td>
<td>Certification Form [required]</td>
<td><strong>Original must be retained by the applicant</strong></td>
</tr>
<tr>
<td>3</td>
<td>Vendor Responsibility Questionnaire [refer to RFA]</td>
<td>(submit as a single pdf upload)</td>
</tr>
<tr>
<td>4</td>
<td>Citizen Participation Documentation [required]</td>
<td>Affidavit of Publication and <strong>CLEAR, LEGIBLE COPY</strong> of the legal</td>
</tr>
<tr>
<td></td>
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<td>notice as published for the public hearing, minutes and 72-hour</td>
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<td></td>
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<td>attestation. [required] <strong>(submit as a single pdf upload)</strong></td>
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<tr>
<td>5</td>
<td>Affirmatively Furthering Fair Housing Plan and Supporting Documentation [required]</td>
<td>(submit as a single pdf upload)</td>
</tr>
<tr>
<td>6</td>
<td>Program Income Report [required]</td>
<td>(submit as a single pdf upload)</td>
</tr>
<tr>
<td>7</td>
<td>Section 3 Compliance Plan [refer to RFA]</td>
<td>(submit as a single pdf upload)</td>
</tr>
<tr>
<td>8</td>
<td>Sample of Housing Conditions Survey/cost estimates (at least 3) [required for all rehabilitation]</td>
<td>(submit as a single pdf upload)</td>
</tr>
<tr>
<td>9</td>
<td>Funding Commitment Letters</td>
<td>(submit as a single pdf upload)</td>
</tr>
<tr>
<td>10</td>
<td>Letters of Community Support</td>
<td>(submit as a single pdf upload)</td>
</tr>
<tr>
<td>11</td>
<td>Confidential Materials</td>
<td>(submit as a single pdf upload)</td>
</tr>
</tbody>
</table>
The submission of a CDBG Program application via CDOL requires five steps:

✓ Completing five online application exhibits.
✓ Validating online application exhibits.
✓ Certifying and submitting online application exhibits.
✓ Uploading and submitting or omitting attachments; and
✓ Certifying attachments

ATTACHMENT 1 – APPLICANT/RECIPIENT DISCLOSURE/UPDATE REPORT

The Applicant/Recipient Disclosure/Update Report available online here.

1. Sign and date the Form.
2. DO NOT MAIL THE ORIGINAL CERTIFICATION FORM TO OCR.
3. Original MUST be retained by the applicant

Section 102 of the Department of Housing and Urban Development Reform Act of 1989 (42 U.S.C. 3531, P.L. 101-235 approved 12-15-89) and HUD implementing regulations at 24 CFR Part 12 contain disclosure requirements for State CDBG Applicants and Recipients. Subpart C of 24 CFR Part 12 requires Applicants for state administered CDBG funds to make a number of disclosures if they meet a dollar threshold for the receipt of certain covered assistance. All Applicants applying for NYS CDBG funds must complete Form 11, which requires all Applicants to submit a Disclosure Report with their application.

The following must make full Disclosure Reports:
1. Any Applicant applying for more than $200,000 of NYS CDBG funds.
2. Any Applicant applying for less than $200,000 of NYS CDBG funds but has received or could receive other covered assistance which when added to the NYS CDBG funds exceeds $200,000.

An applicant that is applying for NYS CDBG funds amounting to $200,000 or less, and that will not be receiving other covered assistance, is not required to make full disclosures, but must partially complete and submit the Applicant/Recipient Disclosure/Update Report with its application.
Guidance Regarding Disclosures

1. **Initial Reports**
   Applicants that are required to submit full initial reports must disclose the following:
   1. Other government assistance (Federal, State and/or local) that is to be used in conjunction with the NYS CDBG project.
   2. The pecuniary interest of any developer, contractor, or consultant involved in the application for NYS CDBG assistance or in the planning, development, or implementation of the CDBG project.
   3. The pecuniary interest of any other person in the project, which exceeds $50,000 or ten percent, whichever is lower, of the NYS CDBG assistance applied for.
   4. The sources of all funds to be used in the project (including those sources identified for Item 1 above) and the uses to which these funds are to be placed.

2. **Update Reports**
   Subsequent to the submission of NYS CDBG applications, Applicants/Recipients that are required to submit full initial reports are required to submit updated Disclosure Reports when any of the following occur:
   1. The Applicant/Recipient discovers that information was omitted from its initial report or last update report.
   2. Additional persons or entities can be identified as interested parties. These are persons or entities that did not have a pecuniary interest when the initial or last update report was submitted, but who can now be identified as having a pecuniary interest that is required to be reported.
   3. There is an increase in the amount of pecuniary interest of a person or entity identified in the last report, if this increased pecuniary interest is more than $50,000 or 10%, whichever is lower, of the pecuniary interest for that person or entity listed in the initial or last update report.
   4. There is a change in other government assistance from that which was provided in the last report. An updated report must be submitted if the total amount of other assistance reported in the initial or last update report has increased by $250,000 or 10%, whichever is lower.
   5. There is a change in the source and/or use of funds from that which was provided in the initial or last update report that exceeds the amount of all previously disclosed sources and/or uses of funds by $250,000 or 10%, whichever is lower.

Recipients must constantly monitor their projects to ensure that an updated Disclosure Report is submitted within 30 days of any change that meets one of the five criteria discussed above. Updated reports are required until the project is closed out.

**ATTACHMENT 2 – CERTIFICATION FORM**

1. Sign and date the form
2. **DO NOT MAIL THE ORIGINAL CERTIFICATION FORM TO OCR.**
3. Original MUST be retained by the applicant
4. The [form is available](#) under Funding Round Materials on the OCR website

**ATTACHMENT 3 – VENDOR RESPONSIBILITY QUESTIONNAIRE**

1. If the applicant has entered into an agreement with a qualified not-for-profit subrecipient, attached a Vendor Responsibility Questionnaire (VRQ)

   The form is available on the NYC Comptroller’s Office website by clicking [here](#).
ATTACHMENT 4 – CITIZEN PARTICIPATION DOCUMENTATION

The Federal Housing and Community Development Act “encourages citizen participation, with particular emphasis on participation by persons of LMI,” both in the preparation of CDBG applications and throughout the implementation of local CDBG projects. Specifically, the Act requires public hearings “to obtain the view of citizens on community development and housing needs” and on “proposed activities.” Congress has mandated that the hearings “be held after adequate notice, at times and locations convenient to potential or actual beneficiaries and with accommodation for the handicapped”. Therefore, public hearings should be held at a time and place convenient to the general public, with accommodations for persons with disabilities. For hearings where a significant number of non-English speaking persons can reasonably be expected to participate, the notice must also be in the appropriate language(s) and provision must be made for interpreters at the public hearing. Notice of public hearings should also be directed to persons of LMI or those persons who will benefit from or be affected by CDBG activities and/or groups representing LMI persons.

Applicants must meet the citizen participation requirements at 24 CFR 570.486 and NYS Homes and Community Renewal's Citizen Participation Plan as amended, which require Applicants to follow a citizen participation plan. Prior to submitting a CDBG application, Applicants must issue a public hearing notice and hold one public hearing (one in each jurisdiction of a joint application) allowing for citizen feedback on the community and economic development needs of the applicant community and any proposed project(s). When issuing the notice and holding the public hearing, please note the following:

- All hearings must also be conducted in accordance with the New York State Open Meetings Law (Public Officers Law, Article 7)
- The municipality must provide a minimum seven (7) day period between the publication of the hearing notice and the hearing itself. Note that the date of publication is day “zero.”
- The hearing notice must be conspicuously posted in one or more public locations at least seventy-two (72) hours prior to the actual hearing. This may be documented by attaching to the application
  - Digital photo of physical posting, with date stamp
  - Screenshot from website posting
  - Other documentation that clearly demonstrates that the notice was posted conspicuously at least 72 hours prior to the actual hearing
  - Written attestation of the above
- The hearing must be conducted by a quorum of the legislative body of the municipality only, not by a sub recipient, department or arm of the applicant
- The notice for the hearing must specifically mention the municipality’s intent to apply for NYS CDBG funds and the current program year
- The notice must identify all activities that the Applicant may be applying for during current program year, which may include Housing, Public Infrastructure/Facilities, Economic Development, or Community Planning
- Public hearings must be held in a location accessible to persons with disabilities and/or provide reasonable accommodations to allow all interested parties to participate
- The municipal resolution authorizing the public hearing, the hearing notice, affidavit of publication, hearing minutes, and evidence of conspicuous public posting must be included as an attachment to the application
- A copy of the application must be available for public inspection at the municipal office(s).

Submit as one pdf single upload, do not upload multiple documents.

ATTACHMENT 5 – FAIR HOUSING-EQUAL OPPORTUNITY-AFFIRMATIVE MARKETING POLICY

Awardees of NYS CDBG funds must comply with all federal, New York State, and local laws, executive order and regulations pertaining to Fair Housing and Equal Opportunity. Refer to Exhibit I.

Submit as one pdf single upload, do not upload multiple documents.
ATTACHMENT 6 – PROGRAM INCOME

Each Applicant must certify to the Office of Community Renewal (OCR) the amount of uncommitted program income from New York State administered CDBG grants on hand at the time of application. All applicants must fill out, sign and attach the CDBG Program Income Report to the Consolidated Funding Application. The report form can be found here.

Note that if a community has NYS CDBG Program Income generated from the year 2000 forward, all program income must be committed (with approval by OCR) prior to requesting “new“ CDBG funding.”

ATTACHMENT 7 – SECTION 3 COMPLIANCE PLAN

All awards made under the CDBG Program are subject to the requirements of Section 3 of the Housing Act of 1937, which specifies that to the greatest extent feasible, and consistent with existing federal, state and local laws and regulations, job training, employment, contracting and other economic opportunities be made available to low- and very low-income persons and locally owned enterprises within the proposed service area.

Recipients of CDBG program funds in excess of $200,000 must comply with the provisions set forth at 24 CFR Part 135. In addition, if an applicant enters into a rehabilitation or construction contract in excess of $200,000, the contractor and its subcontractor are also subject to the provisions. Please see additional guidance Administrative Plan, Section 3 Policy available on the HCR Program website.

ATTACHMENT 8 - SUMMARY HOUSING CONDITIONS SURVEY/COST ESTIMATES

1. Upload a template of the housing conditions survey that was utilized to undertake a housing conditions survey.
2. Provide a minimum of three (3) cost estimates that are no more than eighteen (18) months old at the time the application is submitted.
3. Include sample project photos that can clearly demonstrate existing conditions.
   Every effort must be made to maintain homeowner privacy, avoid including street addresses, or other photos that can clearly identify a specific location.
4. Summary must be no more than five pages, single space, Arial 12 font, including color photos and one page for a map.
5. **Submit as one single upload, do not upload multiple documents.**

ATTACHMENT 9 – FUNDING COMMITMENT LETTERS

1. Provide a clear legible copy of all letters of commitment for all funds identified in this application.
2. Letters should clearly state that funds have been awarded and the date that funds are available until.
3. **Submit as one single upload, do not upload multiple documents.**

ATTACHMENT 10 – LETTERS OF COMMUNITY SUPPORT

1. Provide copies of letters from local residents that may have been submitted in support of this project or that have requested housing assistance.
2. **Submit as one single upload, do not upload multiple documents.**

ATTACHMENT 11 – CONFIDENTIAL MATERIALS

ATTACHMENT 12 – OTHER UPLOADS

Other Uploads includes the Environmental Review Record (ERR), contractors list, planning excerpts, other third-party supporting documentation.)

All NYS CDBG funded projects, whether funded in whole or part, are subject to NEPA and SEQR. The entire project, regardless of what NYS CDBG funds are requested for, must be included in the NEPA and SEQR review.
Beginning with the 2022 funding round, all housing activity-based projects must have NEPA and SEQR completed at the time of application. Projects selected for funding must be prepared to publish a NOIRROF or FONSI/NOIRROF with sixty (60) days of award. Projects that are unable to demonstrate this may not be selected for funding.

The entire scope of work is subject to NEPA, this includes all CDBG and Non-CDBG funds.

As an attachment, upload the Environmental Review Record, at a minimum, this must include:

1. Designation of Certifying Officer (CO)
   a. If CO is anyone other than the Chief Elected Official, the designation must be made by local resolution of the legislative body submitting the application.
   b. The CO must be a municipal official or employee.
2. SEQR determination
   a. Documentation of local SEQRA determination
   b. Lead Agency documentation for Unlisted and Type 1 Actions
   c. Environmental Notices Bulletin for Type 1 Actions
3. Certification of NEPA Classification
   a. Affidavit of publication for Early Notice and Public Review of Proposed Activity Located in the 100 Year Floodplain attached (if applicable)
   b. Affidavit of publication for Final Notice and Public Explanation of Proposed Activity Located in the 100 Year Floodplain attached
4. Certification of SEQR Classification
   a. Applicants must conduct an assessment to determine the State Environmental Quality Review (SEQR Classification of the proposed activities. Additional information on SEQR can be found at SEQR - NYS Dept. of Environmental Conservation
5. NEPA Classification Checklist
6. Statutory Checklist
7. Environmental Assessment Checklist (if applicable)
8. Documentation of all agency consultations
   a. This must include request to agency and response
   b. All relevant maps must be included
   c. SHPO documentation
   d. THPO documentation, this specifically must be completed by the Certifying Officer
9. For projects proposing multi-unit of five (5) or more units, a Building/Capital/Physical Needs Assessment, Engineering Report or Preliminary Engineering Report will be required.
   a. See Exhibit L for guidance on
   b. Cannot be more than twenty-four (24) months at the time of application.
10. Other uploads can include but are not limited to contractors list, planning excerpts, health department reports of private well and septic issues, engineering reports directly related to private well and septic, or engineering reports related to the installation or replacement of lateral connections.
11. Other uploads can include any other documentation clearly connected to the application being submitted.
12. **Submit all material as one single upload, do not upload multiple documents.**
ADDITIONAL PROGRAM REQUIREMENTS

The remainder of this page is intentionally left blank.

A. NOTICE OF FUNDING AVAILABILITY

NEW YORK STATE HOMES AND COMMUNITY RENEWAL
HOUSING TRUST FUND CORPORATION
OFFICE OF COMMUNITY RENEWAL
2022 NOTICE OF FUNDING AVAILABILITY (NOFA)

The Housing Trust Fund Corporation (HTFC) announces the availability of approximately $10 million Federal funds for the following program:

- $10 million - NYS Community Development Block Grant funding for Housing Activities

NYS COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

PROGRAM DESCRIPTION
The New York State Community Development Block Grant Program (NYS CDBG) is a federally funded program administered by the Housing Trust Fund Corporation’s (HTFC) Office of Community Renewal (OCR). The program provides resources to non-entitlement communities to enable the development of decent, affordable housing, create suitable living environments, and enhance economic opportunities across the state.

**CDBG ELIGIBLE APPLICANTS**
Eligible applicants include non-entitlement villages, towns, cities or counties throughout New York State, excluding metropolitan cities, urban counties, and Indian Tribes that are HUD designated Entitlement communities. Non-entitlement areas are generally defined as cities, towns, and villages with populations of less than 50,000 except those designated principal cities of Metropolitan Statistical Areas, and counties with populations of less than 200,000.

**CDBG HOUSING ACTIVITIES**
CDBG funds are available for housing activities including housing rehabilitation, homebuyer down payment assistance, manufactured housing replacement, well and septic replacement, and lateral connection assistance that primarily benefit low- and moderate-income persons.

**2022 MAXIMUM FUNDING LIMITS**

| CDBG Single Family Housing Rehabilitation | $ 500,000 |
| Multi-Family Housing Rehabilitation | |
| Homebuyer Down Payment Assistance | |
| Standalone Water & Wastewater Systems/Laterals Activities | |
| Total for Towns, Cities and Villages: | $ 500,000 |
| Total for Counties: | $ 1,000,000 |

| CDBG Manufactured Housing Replacement Activity |
| Towns, Cities and Villages: | $ 750,000 |
| Counties: | $ 1,500,000 |

**APPLICATION FOR FUNDING**
The 2022 Application for CDBG Housing Activities will be available on the NYS Homes and Community Renewal web site under Funding Opportunities on Wednesday, May 11, 2022. Applications will be accepted 4:00 pm Friday, August 26, 2022. Applications must be submitted using the Community Development Online Application System (CDOL).

The above-stated application deadline is firm as to date and hour. In the interest of fairness to all competing applicants, applications received after the specified date and time will be deemed ineligible and will not be considered for funding. Applicants should make early submission of applications to avoid risk of ineligibility resulting from unanticipated delays or problems.

Applicants may make a request, based on demonstrated need, to submit a paper application in lieu of using the CDOL application system. Requests for approval to submit a paper application must be sent to: Crystal Loffler, President, Office of Community Renewal, NYS Homes and Community Renewal, Hampton Plaza, 38-40 State Street, 4th Floor South, Albany, NY 12207.

**CONTACT INFORMATION**
For inquiries or technical assistance regarding the NYS CDBG programs, please contact:

*NYS Home and Community Renewal*
*Office of Community Renewal*
*38-40 State Street, 4th Floor South*
*Albany, NY 12207*
B. ELIGIBLE ACTIVITIES

In selecting eligible activities, communities should be aware that although an activity may be legally eligible under the federal statute and HUD regulations, it may not be competitive under OCR’s evaluation criteria. An activity being considered for a State CDBG application should be compared against the evaluation criteria for that category before a decision is made to prepare an application. Below is an edited list of eligible activities identified at Section 105(a) of the Housing and Community Development Act of 1974, as amended and 24 CFR 570.482, as amended.

Additional information on eligible activities can be found online.

➢ Acquisition of real property.
➢ Disposition of any real property acquired with CDBG funds or its retention for public purposes.
➢ Acquisition, construction, reconstruction, or installation of public works, facilities and site or other improvements.
➢ Clearance, demolition, removal, reconstruction, and rehabilitation of buildings and improvements.
➢ Public services, including but not limited to those concerned with employment, crime prevention, childcare, health, drug abuse, education, energy conservation, welfare or recreation needs.
➢ Code enforcement in deteriorated or deteriorating areas.
➢ Removal of material and architectural barriers which restrict the mobility and accessibility of elderly and handicapped persons.
➢ Payments to housing owners for losses of rental income.
➢ Assistance to institutions of higher education.
➢ Payment of the non-Federal share required in connection with a federal grant-in-aid program.
➢ Relocation payments and displacement assistance.
➢ Activities necessary to develop a comprehensive community development plan.
➢ Payment of reasonable administrative costs.
➢ Assistance including loans (both interim and long-term) and grants for activities which are carried out by public or private nonprofit entities.
➢ Assistance to neighborhood-based nonprofit organizations, local development corporations, nonprofit organizations serving the development needs of the communities in non-entitlement areas to carry out a neighborhood revitalization or community economic development or energy conservation project.
➢ Activities necessary to the development of energy use strategies.
➢ Assistance to private, for-profit entities, when the assistance is appropriate to carry out an economic development project.
➢ Provision of technical assistance to public or nonprofit entities.
➢ Housing services.
➢ Assistance to institutions of higher education.
➢ Assistance to public and private organizations, agencies, and other entities (including nonprofit and for-profit entities) to facilitate economic development.
➢ Activities necessary to make essential repairs and to pay operating expenses necessary to maintain the habitability of housing units acquired through tax foreclosure proceedings.
➢ Provision of direct assistance to facilitate and expand homebuyer down payment assistance.
➢ Lead-based paint hazard evaluation and reduction; and
➢ Special assessments.

C. INELIGIBLE ACTIVITIES

➢ Buildings, or portions thereof, used for the general conduct of government cannot be assisted with CDBG funds. This definition does not include such facilities as neighborhood service centers or special purpose buildings that may house services provided by government at decentralized locations. However, the
removal of architectural barriers within public buildings to make them more accessible to elderly and handicapped persons is an eligible activity.

➢ General government expenses, except for those costs directly attributable to administration of a local CDBG program and documented as such.

➢ The general rule is that the purchase of equipment with CDBG funds is ineligible. An exception is that compensation for the use of construction equipment through leasing, depreciation, or use allowances pursuant to OMB circulars A-200 (replaces A-87 and A-122), as applicable, for an otherwise eligible activity is an eligible use of CDBG funds.

➢ The general rule is that any expense associated with repairing, operating or maintaining public facilities, improvements and services is ineligible. Specific exceptions are operating, and maintenance expenses associated with public service activities, interim assistance and office space for program staff employed in carrying out the CDBG program.

➢ The general rule is that CDBG funds cannot be used for income payments for housing or any other purpose. Examples of ineligible income payments include payments for income maintenance, housing allowances, down payments and mortgage subsidies. One-time payments made on behalf of persons or families to meet emergency needs such as housing or essential utilities is not an income payment and is eligible.

D. PROGRAM REQUIREMENTS

1. Environmental Review

Environmental review procedures contained in 24 CFR Part 58 applies to this program. In addition, 24 CFR 58.22 provides guidance on limitation on activities pending clearance and 24 CFR 50.17 provides guidance on decision points for projects subject to environmental procedures. Under part 58, Recipients assume all of the responsibilities for environmental review, decision making and action pursuant to the National Environmental Policy Act of 1969 and the State Environmental Quality Review Act (SEQRA) and other provisions of law specified by the Secretary in 24 CFR part 58 that would apply to the Secretary were he or she to undertake such projects as federal projects. For further guidance, please refer to Chapter 2 Environmental and Historic Review of the OCR Grant Administration Manual.

2. Residential Anti-Displacement and Relocation

Applicants proposing activities that may involve displacement, permanent relocation or demolition or conversion of residential units occupied by low-income persons are responsible for complying with the regulations under the Uniform Relocation Act and Section 104(d) of the Housing and Community Development Act of 1974, as amended. The Act requires displacement of persons which may occur as a result of activities assisted with CDBG funds be minimized. HUD regulations require that if any CDBG activity could result in displacement, Applicants must adopt a plan for minimizing displacement of persons and mitigating any adverse effects of displacement on LMI persons.

Recipients of CDBG funds must provide reasonable benefits and relocation assistance to any person involuntarily and permanently displaced as a result of the use of CDBG funds to acquire or substantially rehabilitate property, including businesses. For projects that may entail the displacement of persons, the Applicant must replace all occupied and vacant, occupiable LMI dwelling units demolished or converted to use other than as LMI housing as a direct result of activities assisted with CDBG funds. In addition, HUD requires that Recipients provide reasonable benefits to persons displaced as a result of use of CDBG funds in cases which are not governed by the Uniform Relocation Act.

3. Labor Standards Applicants must comply with all applicable federal and state labor standards as required by the Davis-Bacon Act and Article 8 of the New York State Labor Law. It is the Applicant’s sole
responsible to fully understand and comply with the requirements of the labor laws that impact the activity being proposed prior to submitting an application. The impact of federal and/or state labor laws on the proposed activity must be reflected in the application for funding, particularly the cost of the project. Additional information may be obtained online.

4. Lead-Based Paint Requirements

The Residential Lead-Based Paint Hazard Reduction Act of 1992 amended the Lead-Based Paint Poisoning Act of 1971, which established the Federal lead-based paint requirements. In 1999, HUD issued a lead-based paint regulation, 24 CFR Part 35, in response to the regulations effective September 15, 2000 and updated on June 21, 2004. The lead-based paint regulation defines new work practices that must be followed when dealing with lead-based paint in older structures and expands requirements to protect occupants and workers from lead-based paint hazards until lead hazard reduction work is completed.

All residential rehabilitation must also be in compliance with 40 CFR Part 745, the Environmental Protection Agency (EPA) rules for renovation, repair and painting and which were adopted by HUD. The OCR may require full unit lead based paint risk assessments and full unit clearance for all housing rehabilitation activities.

Applicants must comply with the lead-based paint requirements implemented at 24 CFR Part 35 and 40 CFR Part 745, if proposing activities involving residential properties or facilities, operated by the owner and commonly used by children under seven years of age, such as a child care center, purchased or rehabilitated in whole or part with CDBG funds excluding:

- Housing constructed on or after 1978.
- Housing specifically for the elderly, such as a senior housing complex or a facility intended to provide housing specifically for persons with disabilities, unless a child under 6 resides or is expected to reside in the housing.
- Dwellings without bedrooms, i.e., efficiencies and military barracks.
- Foreclosure sales.
- Short-term leases of 100 days.
- Renewal of leases where all information has been disclosed previously and where lessor has acquired no new information (“renewal” is defined under the regulations to “include both re-negotiation of existing lease terms and/or ratification of a new lease”); or
- Housing which has been inspected and found to be free of lead-based paint by a certified inspector.

Applicants are required to identify lead-based paint compliance for both 24 CFR Part 35 and 40 CFR Part 745 in the application for CDBG assistance and outline the local plan for addressing lead-based paint hazards.

E. PROGRAM ADMINISTRATION AND DELIVERY COSTS

Program delivery, engineering and administrative funds for housing projects cannot exceed 18% of the total grant amount requested, with no more than 5% of the total grant amount requested for administration. 

Grant Administration Costs: Generally, these are costs associated with salaries, wages, and related costs of the grant recipient’s staff, the staff of local public agencies, or other staff engaged in program administration for the awarded grant. General operating expenses are ineligible for reimbursement from the grant funds. Examples of eligible administrative costs include:

- Providing local officials and citizens with information about the program.
- Preparing program budgets and schedules and amendments thereto.
- Developing systems for assuring compliance with program requirements.
- Costs associated with the Environmental Review Process for the overall program, including the release of funds.
- Preparing Requests for Proposals with consultants for grant administration or other consulting work, such as architectural or engineering services.
• Developing interagency agreements and agreements with sub recipients and contractors to carry out program activities.
• Monitoring program activities for progress and compliance with program requirements.
• Preparing reports and other documents for submission to the State regarding the grant.
• Coordinating the resolution of audit and monitoring findings.
• Evaluating program results against State objectives; and
• Managing or supervising persons whose primary responsibilities with regard to the program include such assignments as those described above.
• Costs incurred for official business travel in carrying out the program and administrative services performed under a third-party contract.
• Purchase of capital equipment, such as file cabinets, for grant administration.
• Training on CDBG grant administration requirements.

For more information concerning eligible administrative costs, applicants should read 24 CFR Subpart C 570.206.

**Program Delivery Costs:** These are those costs that can be directly attributed to activities for delivery of specific proposed activities. These include in-house staff or third-party costs.

For housing rehabilitation and homebuyer down payment assistance, these activities can include:
• Marketing grant activities.
• Services verifying client eligibility, applicant in-take and processing.
• Providing education or counseling to beneficiaries.
• Preparation of site-specific environmental review and environmental assessment such as SHPO determinations, well testing or phase 1 archaeology.
• Development of construction specifications, bid preparation and contracting.
• Compiling cost data on individual housing units receiving CDBG assistance.
• Construction monitoring and on-site monitoring.
• Payment processing.
• Filing fees and related legal expenses.
• Engineering and/or architectural fees monitoring.
• Client/contractor troubleshooting
• Any other professional services required to deliver the program

**F. DEFINITION OF SUBSTANDARD HOUSING**

For housing rehabilitation projects, applicants must conduct a housing survey to determine the condition of the housing and classify it as standard, substandard or dilapidated. The following criteria must be used to classify the condition of all housing units to be rehabilitated with CBDG funding. In addition, these criteria should also be used when considering the replacement or rehabilitation of mobile or manufactured housing constructed post-1976. Pre-1976 mobile and manufactured homes should be replaced rather than rehabilitated.

**Structural Components** - Upon structure inspection various components should be categorized as primary, mechanical or secondary as follows:

- **Primary Components** - Foundation, exterior wall structure, roof structures, floor structures, columns, joists, and partitions.
- **Mechanical Components** - Windows and doors, plumbing, heating, electrical, wells and septic systems.
- **Secondary Components** - Siding material, roofing material, porches and exterior stairs and railings, chimneys, flooring material, ceilings, lighting, ventilation, interior stairs and railings.

**Degree of Deficiency** - After structural components are classified as primary, mechanical or secondary, they shall be assessed for the degree of deficiency as follows:
**Critical Defects** - Component is badly deteriorated, sinking, leaning, non-operative or non-functional, out of plumb, or unsafe to an extent requiring complete replacement. For example, 1) a complete electrical rewiring, 2) a completely new roof, 3) a plumbing system which requires extensive repair or none exists, 4) major repair of exterior structural elements (e.g. walls, sills, floor joists, rafters, large porches), 5) major repair of unstable or deteriorated foundation walls, or 6) a non-existent or dysfunctional septic system, a well with a spring of poor quality or quantity.

**Major Defects** - Component is badly deteriorated and in need of major repair or replacement.

**Minor Defects** - Component is worn, loose, or cracked and in need of repair.

**Sound** - Component needs no more than normal maintenance.

**Structural Conditions** – After determining the degree of deficiency, the structural condition must be determined.

**Standard** – Housing units that are in standard condition, have no critical or major structural defects, have adequate plumbing facilities and their appearance does not create a blighting influence. This condition requires no more than observable, normal maintenance; dwelling units which have no deficiencies, or only slight observable deficiencies.

**Substandard** - Housing units that have one or more major and/or critical structural defects but can still be repaired for a reasonable amount. The degree of substandard is either moderate or severe according to the number of defects and the degree of deficiency.

1. Moderately Substandard - Housing units that have less than three major defects and can be restored to a standard condition for a reasonable cost.
2. Severely Substandard - Housing units that have three or more major defects or at least one critical defect and can be restored to a standard condition for a reasonable cost.

**Dilapidated** - Units that are determined to be substandard to a degree requiring clearance, or buildings which have three or more critical deficiencies that cannot be repaired to a standard condition for less than a reasonable amount. In these instances, a local determination must be made concerning the economic feasibility and the public benefit of such projects.

**G. HUD INCOME LIMITS**

a. Click [here](#) for current HUD income limits
<table>
<thead>
<tr>
<th>General Category</th>
<th>Statement from 24 CFR 5.609 paragraph (b) (April 1, 2004)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Income from wages, salaries, tips, etc.</td>
<td>The full amount, before any payroll deductions, of wages and salaries, overtime pay, commissions, fees, tips and bonuses, and other compensation for personal services.</td>
</tr>
<tr>
<td>2. Business Income</td>
<td>The net income from the operation of a business or profession. Expenditures for business expansion or amortization of capital indebtedness shall not be used as deductions in determining net income. An allowance for depreciation of assets used in a business or profession may be deducted, based on straight-line depreciation, as provided in Internal Revenue Service regulations. Any withdrawal of cash or assets from the operation of a business or profession will be included in income, except to the extent the withdrawal is reimbursement of cash or assets invested in the operation by the family.</td>
</tr>
<tr>
<td>3. Interest &amp; Dividend Income</td>
<td>Interest, dividends, and other net income of any kind from real or personal property. Expenditures for amortization of capital indebtedness shall not be used as deductions in determining net income. An allowance for depreciation is permitted only as authorized in number 2 (above). Any withdrawal of cash or assets from an investment will be included in income, except to the extent the withdrawal is reimbursement of cash or assets invested by the family. Where the family has net family assets in excess of $5,000, annual income shall include the greater of the actual income derived from all net family assets or a percentage of the value of such assets based on the current passbook savings rate, as determined by HUD.</td>
</tr>
<tr>
<td>4. Retirement &amp; Insurance Income</td>
<td>The full amount of periodic amounts received from Social Security, annuities, insurance policies, retirement funds, pensions, disability or death benefits, and other similar types of periodic receipts, including a lump-sum amount or prospective monthly amounts for the delayed start of a periodic amount (except as provided in number 14 of Income Exclusions).</td>
</tr>
<tr>
<td>5. Unemployment &amp; Disability Income</td>
<td>Payments in lieu of earnings, such as unemployment and disability compensation, worker's compensation, and severance pay (except as provided in number 3 of Income Exclusions).</td>
</tr>
</tbody>
</table>
| 6. Welfare Assistance                            | Welfare Assistance. Welfare assistance payments made under the Temporary Assistance for Needy Families (TANF) program are included in annual income:  
  - Qualify as assistance under the TANF program definition at 45 CFR 260.31; and  
  - Are otherwise excluded from the calculation of annual income per 24 CFR 5.609(c).  
  If the welfare assistance payment includes an amount specifically designated for shelter and utilities that is subject to adjustment by the welfare assistance agency in accordance with the actual cost of shelter and utilities, the amount of welfare assistance income to be included as income shall consist of:  
    - the amount of the allowance or grant exclusive of the amount specifically designated for shelter or utilities; plus  
    - the maximum amount that the welfare assistance agency could in fact allow the family for shelter and utilities. If the family's welfare assistance is reduced from the standard of need by applying a percentage, the amount calculated under 24 CFR 5.609 shall be the amount resulting from one application of the percentage. |
| 7. Alimony, Child Support, & Gift Income         | Periodic and determinable allowances, such as alimony and child support payments, and regular contributions or gifts received from organizations or from persons not residing in the dwelling.                                                                                                                                   |
| 8. Armed Forces Income                           | All regular pay, special day and allowances of a member of the Armed Forces (except as provided in number 7 of Income Exclusions).                                                                                                                               |
### Household Income Exclusions (Part 5)

<table>
<thead>
<tr>
<th>General Category</th>
<th>Statement from 24 CFR 5.609 paragraph (c) (April 1, 2004)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Income of Children</td>
<td>Income from employment of children (including foster children) under the age of 18 years.</td>
</tr>
<tr>
<td>2. Foster Care Payments</td>
<td>Payments received for the care of foster children or foster adults (usually persons with disabilities, unrelated to the tenant family, who are unable to live alone).</td>
</tr>
<tr>
<td>3. Inheritance and Insurance Income</td>
<td>Lump-sum additions to family assets, such as inheritances, insurance payments (including payments under health and accident insurance and workers’ compensation), capital gains and settlement for personal or property losses (except as provided in number 5 of Income Inclusions).</td>
</tr>
<tr>
<td>4. Medical Expense Reimbursements</td>
<td>Amounts received by the family that are specifically for, or in reimbursement of, the cost of medical expenses for any family member.</td>
</tr>
<tr>
<td>5. Income of Live-in Aides</td>
<td>Income of a live-in aide (as defined in 24 CFR 5.403).</td>
</tr>
<tr>
<td>6. Disabled Persons</td>
<td>Certain increases in income of a disabled member of qualified families residing in HOME-assisted housing or receiving HOME tenant-based rental assistance (24 CFR 5.671(a)).</td>
</tr>
<tr>
<td>7. Student Financial Aid</td>
<td>The full amount of student financial assistance paid directly to the student or to the educational institution.</td>
</tr>
<tr>
<td>8. Armed Forces Hostile Fire Pay</td>
<td>The special pay to a family member serving in the Armed Forces who is exposed to hostile fire.</td>
</tr>
<tr>
<td>9. Self-Sufficiency Program Income</td>
<td>a. Amounts received under training programs funded by HUD.</td>
</tr>
<tr>
<td></td>
<td>b. Amounts received by a person with a disability that are disregarded for a limited time for purposes of Supplemental Security Income eligibility and benefits because they are set aside for use under a Plan to Attain Self-Sufficiency (PASS).</td>
</tr>
<tr>
<td></td>
<td>c. Amounts received by a participant in other publicly assisted programs that are specifically for, or in reimbursement of, out-of-pocket expenses incurred (special equipment, clothing, transportation, childcare, etc.) and which are made solely to allow participation in a specific program.</td>
</tr>
<tr>
<td></td>
<td>d. Amounts received under a resident service stipend. A resident service stipend is a modest amount (not to exceed $200 per month) received by a resident for performing a service for the PHA or owner, on a part-time basis, that enhances the quality of life in the development. Such services may include, but are not limited to, fire patrol, hall monitoring, lawn maintenance, resident initiatives coordination, and serving as a member of the PHA’s governing board. No resident may receive more than one such stipend during the same period of time.</td>
</tr>
<tr>
<td></td>
<td>e. Incremental earnings and benefits resulting to any family member from participation in qualifying state or local employment training programs (including training not affiliated with a local government) and training of a family member as resident management staff. Amounts excluded by this provision must be received under employment training programs with clearly defined goals and objectives and are excluded only for the period during which the family member participates in the employment training program.</td>
</tr>
<tr>
<td>10. Gifts</td>
<td>Temporary, nonrecurring, or sporadic income (including gifts).</td>
</tr>
<tr>
<td>11. Reparations</td>
<td>Reparation payments paid by a foreign government pursuant to claims filed under the laws of that government by persons who were persecuted during the Nazi era.</td>
</tr>
<tr>
<td>12. Income from Full-time Students</td>
<td>Earnings in excess of $480 for each full-time student 18 years old or older (excluding the head of household or spouse).</td>
</tr>
<tr>
<td>13. Adoption Assistance Payments</td>
<td>Adoption assistance payments in excess of $480 per adopted child.</td>
</tr>
<tr>
<td>14. Social Security &amp; SSI Income</td>
<td>Deferred periodic amounts from SSI and Social Security benefits that are received in a lump sum amount or in prospective monthly amounts.</td>
</tr>
<tr>
<td>-------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>15. Property Tax Refunds</td>
<td>Amounts received by the family in the form of refunds or rebates under state or local law for property taxes paid on the dwelling unit.</td>
</tr>
<tr>
<td>16. Home Care Assistance</td>
<td>Amounts paid by a state agency to a family with a member who has a developmental disability and is living at home to offset the cost of services and equipment needed to keep this developmentally disabled family member at home.</td>
</tr>
</tbody>
</table>
| 17. Other Federal Exclusions  | Amounts specifically excluded by any other federal statute from consideration as income for purposes of determining eligibility or benefits under a category of assistance programs that includes assistance under any program to which the exclusions of 24 CFR 5.609(c) apply, including:  
  - The value of the allotment made under the Food Stamp Act of 1977;  
  - Payments received under the Domestic Volunteer Service Act of 1973 (employment through VISTA, Retired Senior Volunteer Program, Foster Grandparents Program, youthful offender incarceration alternatives, senior companions);  
  - Payments received under the Alaskan Native Claims Settlement Act;  
  - Income derived from the disposition of funds to the Grand River Band of Ottawa Indians;  
  - Income derived from certain sub marginal land of the United States that is held in trust for certain Indian tribes;  
  - Payments or allowances made under the Department of Health and Human Services' Low-Income Home Energy Assistance Program;  
  - Payments received under the Maine Indian Claims Settlement Act of 1980 (25 U.S.C. 1721);  
  - The first $2,000 of per capita shares received from judgment funds awarded by the Indian Claims Commission or the U.S. Claims Court and the interests of individual Indians in trust or restricted lands, including the first $2,000 per year of income received by individual Indians from funds derived from interests held in such trust or restricted lands;  
  - Amounts of scholarships funded under Title IV of the Higher Education Act of 1965, including awards under the Federal work-study program or under the Bureau of Indian Affairs student assistance programs;  
  - Payments received from programs funded under Title V of the Older Americans Act of 1985 (Green Thumb, Senior Aides, Older American Community Service Employment Program);  
  - Payments received on or after January 1, 1989, from the Agent Orange Settlement Fund or any other fund established pursuant to the settlement in the In Re Agent Orange product liability litigation, M.D.L. No. 381 (E.D.N.Y.);  
  - Earned income tax credit refund payments received on or after January 1, 1991, including advanced earned income credit payments;  
  - The value of any childcare provided or arranged (or any amount received as payment for such care or reimbursement for costs incurred for such care) under the Child Care and Development Block Grant Act of 1990;  
  - Payments received under programs funded in whole or in part under the Job Training Partnership Act (employment and training programs for Native Americans and migrant and seasonal farm workers, Job Corps, veteran’s employment programs, state job training programs and career intern programs, AmeriCorps);  
  - Payments by the Indian Claims Commission to the Confederated Tribes and Bands of Yakima Indian Nation or the Apache Tribe of Mescalero Reservation;  
  - Allowances, earnings, and payments to AmeriCorps participants under the National and Community Service Act of 1990;  |
Any allowance paid under the provisions of 38 U.S.C. 1805 to a child suffering from spina bifida who is the child of a Vietnam veteran;

Any amount of crime victim compensation (under the Victims of Crime Act) received through crime victim assistance (or payment or reimbursement of the cost of such assistance) as determined under the Victims of Crime Act because of the commission of a crime against the applicant under the Victims of Crime Act; and

Allowances, earnings, and payments to individuals participating in programs under the Workforce Investment Act of 1998.

I. Manufactured Housing Replacement Guidelines

Guidance on Manufactured Housing

1. The HTFC will adopt Manufactured Housing Guidelines which will be available on the OCR website. Please contact OCR directly for further guidance.

2. NYS Division of Code Enforcement

3. NYS Residential Code provides applicable national reference standards

4. Manufactured housing in New York State receiving or utilizing Agency subsidies must be provided, constructed and/or installed by a company which has been reviewed and approved by New York State Building Standards and Codes, which is a division of the Department of State. This link provides the names of all of the firms approved thru March 2017 to manufacture, deliver, sell, repair, etc., manufactured homes and this should be part of your boilerplate.

5. Definitions
   a. Trailer Home: Those structures built before the enactment of the HUD code including portable structures originally intended for non-permanent and/or recreational use being used as a permanent residence. These units often have no permanent foundations and site rigged non-compliant infrastructures.
   b. Factory Built: Any structure designed for permanent residential use built under controlled off-site manufacturing facility conditions. There are three definitions of “factory built” homes:
      i. Mobile Home: A factory-built home designed to be used as a year-round residential dwelling, built prior to the enactment of the HUD Code but built to voluntary industry standard of the American National Standards Institute.
      ii. Manufactured Home: A permanent factory-built completed dwelling unit, designed for installation, at a designated building site with permanent foundations and local code compliant infrastructure. All manufactured homes are built in compliance with the HUD Code.
      iii. Modular Home: Factory-built dwellings certified as meeting State and local building codes as applicable. Two or three pre-set dimensional units are factory-built, and then transported to and assembled at the building site. Modular housing differs from manufactured homes in that sections of the modular dwelling are often delivered to the site in pre-cut components to be assembled at the site, rather than arriving at the site in a completed form.
J. ENERGY STAR PERFORMANCE STANDARDS FOR BUILDINGS

WHAT IS THE ENERGY STAR BUILDING PERFORMANCE STANDARD?

For residential single and multifamily new construction up to 3 stories, it is a system for achieving and verifying a certain level of performance with respect to energy efficiency. Performance is certified by independent third-party contractors. The Energy Star standard is uniform throughout the United States, and a national infrastructure exists for implementation.

ENERGY STAR is not a new building code, or specification. It does not replace existing energy codes or building codes. “Efficiency” means total purchased house energy consumption, not only heating, cooling and hot water.

An Energy Star home is at least 30% more energy efficient than a comparable home built to meet the 1993 national Model Energy Code or 15% more efficient than state energy code, whichever is more rigorous. See www.energystar.gov for more information, including the new performance guidelines to be applied for most homes beginning July 1, 2006.

An Energy Star Home/Building is defined as one which has been certified through inspection and testing as meeting the Energy Star Qualified New Homes Standard. To achieve this rating the building must score less than or equal to 80 in the North (≤ 85South) on the Mortgage Industry Home Energy Rating Scale (HERS).

HERS Scores give a numeric value between 0 and 100 indicating the relative energy efficiency of a given home as compared with the HERS Energy-Efficient Reference Home (EERH) as specified by the HERS Council Guidelines. The lower the score, the more efficient the home. A home with zero energy use (total energy consumption) scores 0.

WHAT DO HERS CONTRACTORS DO?

➢ Review builders plans for Energy Star Performance
➢ Evaluate and rate energy efficiency of buildings.
➢ Provide independent 3rd Party inspections AND testing.

Inspection – The home energy rater inspects the home, and with software, measures its energy characteristics, such as insulation levels, window efficiency, wall-to-window ratios, the heating and cooling system efficiency, the solar orientation of the home, and the water heating system.

Testing – Diagnostic testing, such as blower door for building air leakage and duct blaster testing for forced air systems leakage is part of the rating.

How does this all get incorporated into a Community Development Housing Program? Include the following language into your RFPs or procurement process for housing: “All new and gut rehabilitation residential buildings up to three stories shall be designed to meet the standard for Energy Star Qualified New Homes (≤80 [≤85 for South] and >70 on the HERS Rating Scale). All procedures used for this rating shall comply with National Home Energy Rating System guidelines.” Believe it or not this is the only thing you have to do! The developer takes care of the rest.

ENERGY STAR REFERENCES

➢ Energy Star
➢ HUD’s Energy webpage
➢ HUD PD&R Energy Efficient Rehab Advisor
➢ Residential Energy Services Network

2022 CDBG Housing Activities – Application Instructions
K. LMI NATIONAL OBJECTIVE COMPLIANCE REQUIREMENTS

1. Primary Objective

The Primary Objective of the Community Development Block Grant Program is to benefit LMI persons. At least 70% of New York State’s CDBG allocation must be allocated to activities, which meet the Primary Objective of benefitting LMI persons. For an activity to qualify as benefitting LMI persons, at least 51% of the persons benefitting from the activity must be LMI persons.

Census data and local surveys are the two sources of data for documenting benefit to LMI persons. It is noted that Census data cannot be rounded up. If the Census data shows that the percent of LMI persons is less than 51% (e.g. 50.6%), this figure cannot be rounded to 51%. In such a case, an Applicant may find it necessary to conduct an income survey. Refer to Appendix G for guidance on survey techniques.

Applicants need to determine how the National Objective requirement will be satisfied during the planning, implementing and documenting of CDBG projects. Each project must meet the Primary and National Objectives. When meeting the benefit to LMI persons National Objective, Applicants must ensure that moderate-income persons (80% of median income) are not benefited to the exclusion of low-income persons (50% of median income).

2. National Objectives

Each CDBG funded activity must meet one of three National Objectives:

1. Benefit LMI persons.
2. Aid in the prevention or elimination of slums or blight; or
3. Meet community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community and other financial resources are not available to meet such needs.

Additional information on National Objective Compliance can be found online.

If satisfactory demonstration of compliance with a National Objective is not provided, the proposed activity will be considered ineligible and will not be considered for funding.
**Meeting the National Objectives**

1. **Benefit to LMI persons**

Applicants must demonstrate that housing units to be assisted are occupied by low- and moderate-income persons or, in the case of multi-unit rehabilitation that at least 51% of the units are occupied or will be occupied by low- and moderate-income persons.

For the purposes of meeting this National Objective, CDBG activities are divided into three main categories: Area Benefit, Limited Clientele, Direct Benefit including housing and job creation or retention. Each activity proposed must fall under one of the above categories in order to be considered for funding. Activities in these categories qualify under the LMI benefit National Objective in one of three ways: Area Benefit, Limited Clientele or Direct Benefit. The Applicant must determine under which category their project meets the requirement to serve at least 51% LMI persons. The following information will assist with that determination.

**Direct Benefit**

Activities that are a Direct Benefit are designed to exclusively serve LMI persons. This method is used to determine the LMI benefit for activities that assist a specific known person or household. Activities that qualify under this benefit include residential rehabilitation or job creation activities. For example, a Direct Benefit activity occurs when the community has income eligibility requirements that limit the benefits of the CDBG activity to only LMI families.

Documenting LMI benefit for Direct Benefit projects is relatively clear-cut since potential Recipients of CDBG assistance are screened for income eligibility with the use of the most current HUD income limits for the county in which the project is located. Reference the [2022 HUD Income Limits](#).
2. Prevention and Elimination of Slum and Blight

Activities meeting the slum and blight National Objective may involve the rehabilitation or removal of slums and blight in the physical, economic and/or social environments. Activities may address any serious conditions identified in the areas of residential, infrastructure, commercial or industrial facilities. The overall program proposed should resolve all need indicated. CDBG activities directed toward the National Objective of preventing or eliminating slums or blight are divided into two main categories: area basis and spot basis.

Area Basis
Activities meeting one or more of the following criteria, in the absence of substantial evidence to the contrary, will be considered to aid in the prevention or elimination of slums or blight:

- The area delineated by the Applicant must meet the definition of a slum, blighted, deteriorated or deteriorating area under State or local law. Applicants must use the strictest definition to determine eligibility. The New York State General Municipal Law Article 18-C, S-970-c defines “Blighted area” as an area within a municipality in which one or more of the following conditions exist: (i) a predominance of buildings and structures which are deteriorated or unfit or unsafe for use or occupancy; or (ii) a predominance of economically unproductive lands, buildings or structures, the redevelopment of which is needed to prevent further deterioration which would jeopardize the economic well-being of the people.

- Throughout the area there are a substantial number of deteriorated or deteriorating buildings, or the public improvements are in a general state of deterioration.

- The assisted activity addresses one or more of the conditions which contributed to the deterioration of the area. Rehabilitation of residential buildings carried out in an area meeting the above requirements will be considered to address the area’s deterioration only where each such building rehabilitated is considered substandard before rehabilitation, and all deficiencies making a building substandard have been eliminated if less critical work on the building is also undertaken.

Applicants claiming the prevention and elimination of the slum and blight National Objective on an area basis must be able to document that, at the time of application, most of the buildings in the area are deteriorated or dilapidated and the area itself is blighted.

Spot Basis
The elimination of specific conditions of blight or deterioration on a spot basis is designed to comply with the statutory objective for CDBG funds to be used for the prevention of blight, on the premise that such action(s) serves to prevent the spread to adjacent properties or areas. To comply with this National Objective, an activity must be designated to eliminate specific conditions of blight or physical decay not located in a designated slum or blighted area and the activity must be limited to one of the following: acquisition, clearance, relocation, historic preservation, and/or rehabilitation of buildings, but only to the extent necessary to eliminate specific conditions detrimental to public health and safety. To be detrimental to public health and safety, a condition must pose a threat to the public in general.

Applicants claiming the prevention and elimination of the slum and blight National Objective on a spot basis must be able to document the specific conditions of blight or physical decay for the eligible activity, demonstrate the public health or safety threat to the public and show that the area in which the property is located is outside a slum or blighted area.

Documentation officially designating areas of slums and blight, including the year of designation.
1. A map of designated area.
2. Provide the number of structures in area and the total number of structures that are dilapidated.
3. Describe the conditions that lead to a determination of slums and blight.
4. Describe the Applicant’s plan to eliminate the conditions that led to a determination of slums and blight.

3. **Urgent Community Development Needs:**

Evidence that the condition resulting in the need for the proposed activity is of recent origin or recently became urgent (e.g. a condition that developed, or became critical, within 18 months of application). Describe the nature and immediacy of conditions which pose a serious threat to the health and or welfare of the community. Explain why the Applicant is unable to finance the proposed activity on its own and why other resources are not available to fund the proposed activity. Describe the population affected by the threat, the number of persons to benefit and the extent to which the threat will be eliminated.

An activity that fails to meet one or more of the applicable tests for meeting a National Objective does not comply with CDBG rules.

I. **DATA COLLECTION**

As part of the application process, Applicants will need to provide income data to demonstrate the need and/or market for each activity proposed and to provide evidence that each activity will meet a National Objective. For activities meeting the National Objective of assisting LMI persons and/or households, two types of data can be used to demonstrate compliance – Census data or income survey data. In addition to collecting income data, Applicants must use other methods for documenting need.

A. **Census Data**

The most recent Census data can be used to determine and provide evidence of compliance with the LMI Area Benefit National Objective. If it is believed that the data does not accurately reflect the current economic condition of the area, the Applicant may conduct an income survey. Income surveys may be conducted if:

- The proposed activity is in a Census Tract or Block Group that has less than 51% LMI persons based on the most recent available Census data and the Applicant has reason to believe that the Census information is not accurate, and the area is primarily LMI.

- The activity is in a Census Tract or Block Group that has at least 51% LMI persons, based on the most recent available Census data, but does not serve the entire Census Tract, or Block Group, or it serves portions of several Census Tracts or Block Groups.

- The service area (area benefiting from the activity) of the proposed activity is not contiguous with any Census designated area for which data is provided.

B. **Income Surveys**

Applicants may need to conduct an income survey to document compliance with the LMI Area and Direct Benefit National Compliance requirements. Applicants using a third-party to conduct an income survey must obtain all the survey documents (instrument, summary, surveys) and retain this information in their project files.

1. **LMI Direct Benefit National Objective**

For projects meeting a Direct Benefit National Objective such as housing rehabilitation, homebuyer down payment assistance, job creation and retention, and wastewater and drinking water laterals where eligibility is directly based on the individual household income, with the use of income survey data, Applicants must demonstrate that there is an LMI market and a need for the direct benefit activity being proposed.

2. **LMI Area Benefit National Objective**

For Area Benefit activities, income survey data may be used to demonstrate that 51% of the area is LMI.
and to aid in demonstrating the LMI need for the proposed activity.

**Defining the Service Area**

Applicants must first determine the service area for their project to determine the total number of residential units (occupied, vacant and seasonal) in the project area. Activities that benefit an entire community are considered to have an area wide benefit and the service area is the entire community excluding social service residences such as those operated by the New York State Office of Mental Retardation and Developmental Disabilities, group quarters, prisons, dormitories, etc. Activities that benefit a smaller or targeted group only benefit a designated area of a community. If you are trying to determine the LMI status of households in a neighborhood that is benefiting from a NYS CDBG funded activity, that neighborhood is the service area. Instead of a neighborhood, the service area may be a town, it may be as large as a county, or it may be defined some other way.

**Non-Random Income Survey**

A non-random income survey is conducted when an Applicant wants to survey the entire service area of an activity. This type of income survey is typically used in areas with a relatively small population and the intent is to gather information from 100% of the households in the service area.

**Response Rates**

After defining the size of the service area, the Applicant must determine the number of responses needed to estimate the overall characteristics of the service area accurately. Using the tables below, Applicants can determine the number of households that must respond to the income survey.

### NON-RANDOM INCOME SURVEY: REQUIRED RESPONSE RATE

<table>
<thead>
<tr>
<th># OF HOUSEHOLDS IN THE SERVICE AREA</th>
<th>REQUIRED RESPONSE RATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 - 50</td>
<td>95%</td>
</tr>
<tr>
<td>51-100</td>
<td>90%</td>
</tr>
<tr>
<td>101-200</td>
<td>80%</td>
</tr>
<tr>
<td>201-300</td>
<td>70%</td>
</tr>
<tr>
<td>301-400</td>
<td>60%</td>
</tr>
<tr>
<td>401-600</td>
<td>55%</td>
</tr>
<tr>
<td>601-800</td>
<td>50%</td>
</tr>
<tr>
<td>800-1000</td>
<td>45%</td>
</tr>
<tr>
<td>1,000 or more</td>
<td>40%</td>
</tr>
</tbody>
</table>

The following formula should be used to determine the survey response rate:

\[
\frac{\text{Total Number of Surveys Returned}}{\text{Total Number Surveyed}} = \text{Response Rate}
\]

If the initial response rate is lower than the required response rate, Applicants must either repeat follow-up actions or survey additional persons. **Applicants that do not meet the minimum response rate will be at risk of a determination of non-compliance of the LMI National Objective.** Applicants must include as an attachment to their application, the survey methodology and a tabulation of the survey results. OCR reserves the right to review, re-tabulate and ultimately reject any questionable survey methodology, instruments and data. Applicants should be prepared to defend the validity of their survey methodology, instruments and data when the LMI Area Benefit is demonstrated to be no more than 55%.

Applicants can achieve more accurate estimates if they do not write off a household as unreachable too quickly. When conducting a door-to-door income survey, Applicants should make two or more passes through the area (at different times) to try to catch a family at home. Only after at least two tries or an outright refusal should a sampled household be replaced. No matter what you do, however, some
households just will not be home during the time of interviewing, some probably will refuse to be interviewed, some will terminate the interview before you finish, and some will complete the interview, but fail to provide an answer to the key question on household income. In order to be considered an adequate response, the interview must be completed, and you must obtain complete and accurate information on the respondent's household income.

Applicants must ensure that the entire service area is surveyed. When tabulating the results of the survey, Applicants may identify surveys that were not completed accurately, or vital information is missing. In such cases, the survey must be rejected and included in the non-LMI tabulation.

Vacant and Seasonal Housing
All vacant and seasonal housing units must be included in the total number of households and persons benefiting. However, for the purpose of conducting an income survey and meeting the required response rate, these units are deducted from the group to be surveyed. The applicant must clearly demonstrate on a map, the exact location of all vacant and seasonal housing.

II. DESIGNING THE INCOME SURVEY QUESTIONNAIRE

It is important that all the individuals surveyed are asked the same exact questions in the same format and the responses are recorded correctly. To ensure this, a written questionnaire is needed. Each question should be clear, written in simple language, and convey only one meaning. Applicants should include questions designed to elicit information that will substantiate compliance with the National Objectives as well as questions that are considered important to the activity.

Applicants should be aware that experience has shown that overly detailed surveys may adversely affect the response rate. Income survey questions should be designed to provide, at a minimum, data regarding family size, household income, housing tenure, head of household status and racial and ethnic composition. The survey should request the respondent to provide their annual household income or the most recent HUD Income Limits should be listed in ranges that will allow the Applicant to determine whether the respondent is at or below 30%, 50%, or 80% of area median income or above.

Types of Survey Questions
When designing the income survey questionnaire, Applicants should select the best format that will solicit the information needed. There are two question formats that Applicants can use in an income survey: open-ended and closed-ended. An example of an open-ended question is: “What do you think is this community’s most important need?” The respondent is allowed to answer in any way he/she chooses. Usually, several blank lines are provided for an answer.

A closed-ended question is one that forces the respondent to make a choice: “Do you like the new community center?” Answer yes or no. “Is your income below $5,000; between $5,000 and $10,000; or above $10,000?” Typically, closed-ended questions have a box to check for the appropriate answer.

Income survey questions should be brief and simple and should not be loaded or biased. The interviewer should not imply that the neighborhood would benefit or receive federal funding if respondents say that they are of LMI. The questions must be designed to determine truthfully and accurately whether respondents have LMI. It is permissible to note that the reason for the income survey is to gather essential information to support an application for funding under the State or to undertake a CDBG funded activity in the area.
Applicants should also bear in mind that questions about income are personal. Many people are suspicious or reluctant to answer questions about incomes -- especially if they do not understand the reason for the question. One way to handle this problem is to ask questions about income at the end of a somewhat lengthy questionnaire on other community development matters. In this instance, a local agency can use this questionnaire to gather some information on what the neighborhood sees as important needs or to gather feedback on some policy or project. At the end of such a questionnaire, it usually is possible to ask questions on income more discreetly. If this option is chosen, however, the interviewer should be cautioned that an excessively lengthy questionnaire might cause respondents to lose interest before it is over. The ideal length would probably be less than ten minutes, although certainly you could develop a longer questionnaire if it were necessary.

Of course, it is also possible to ask only the critical questions on income. You should know best how people in your community will respond to such questions. With a proper introduction that identifies the need for the information, you can generate an adequate level of response with just a two-question questionnaire on income level.

Refer to the current [HUD Income Limits](#) for use in determining eligible income. The income limits show the area median income and the income limits at 30%, 50% and 80% by household size. Applicants use the income limits in the income survey instrument and/or in calculating the results of the income survey. Household size and income are needed to determine if a household meets the LMI requirements.

**Racial/Ethnic Composition Data**

HUD requires racial and ethnic composition data on all beneficiaries of the State CDBG Program for input into their Integrated Disbursement Information System. OCR also provides this data to HUD in its Annual Performance Report to HUD. **Even though racial and ethnic data is not required as part of this application, OCR will request this information from Recipients in the Semi-Annual Performance Report.**

Applicants may choose to collect the racial/ethnic composition data from potential program participants during the income survey or application intake (direct benefit activities) stages. The following chart represents the racial and ethnic categories designated by HUD and how they should be reported.

### III. INCOME SURVEY MATERIALS

* HUD has designated Hispanic as an ethnic group that is applicable to all races. A household or person may be

<table>
<thead>
<tr>
<th>Racial/Ethnic Composition</th>
<th>Racial Group</th>
<th>*Hispanic</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Racial Categories (HUD Designated)</strong></td>
<td>Total # Of</td>
<td>Total # Of</td>
</tr>
<tr>
<td>White</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Black/African American</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Asian</td>
<td></td>
<td></td>
</tr>
<tr>
<td>American Indian/Alaskan Native</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Native Hawaiian/Other Pacific Islander</td>
<td></td>
<td></td>
</tr>
<tr>
<td>American Indian/Alaskan Native and White</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Asian And White</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Black/African American And White</td>
<td></td>
<td></td>
</tr>
<tr>
<td>American Indian/Alaskan Native &amp; Black/African American</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Multi-Racial</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

identified as both a member of a racial group and an ethnic group.
Income survey materials should include detailed concise information that will aid in the successful collection of the information solicited. At a minimum, the following information should be provided to the residents:

- A brief description of why the income survey is being conducted (without stating the preferred response) and an explanation of why demographic data is being requested. This may be presented in a written or verbal format depending on the survey method.

- A statement assuring that the information is confidential. **OCR strongly advises applicants to inform candidates of the survey that the information collected is confidential and is not subject to the Freedom of Information Act (FOIA).**

- The name and telephone number of a person to be contacted if the respondent has any questions.

- Instructions for completing the questionnaire, such as **what types of income are counted toward household income and the difference between household size and number of dependents.**

At a minimum, the household size, income and demographics, the respondent’s signature, date, and address should be collected.

### IV. CONFIDENTIALITY

Applicants must ensure that the income survey process used to substantiate compliance with the LMI National Objectives includes a way to identify specific households who responded to the questionnaire yet ensures the respondent’s confidentiality. **Each income survey should include a statement ensuring respondent confidentiality and the process the applicant will undertake to ensure confidentiality.**

To preserve confidentiality, the income survey materials should be in two parts or consist of two separate pages. **The section with the respondent’s name and address must be separated from the income and demographic data after receipt.** All documents related to the income survey should be stored in a locked cabinet or other secure area, which has limited access. The Applicant must impress upon those working with the income survey data the importance of confidentiality.

Questions concerning household income and other personal questions are sensitive topics and applicants need to take this under consideration when developing their questionnaire and determining their Income survey method. **If a respondent’s address is requested on the questionnaire, many persons may not answer the questions relating to income truthfully, answer the questions at all, or not complete the questionnaire in its entirety.** To promote a high response rate and solicit accurate information, the questionnaire should not include identifying information, such as the person’s name or address. The following are examples of acceptable methods for preserving anonymity of Income survey respondents:

**A.** Applicants may hand deliver the questionnaire to the respondent or conduct the income survey orally. At the time of delivery or upon completion of the interview, the surveyor would mark off the respondent’s address from an address list. If the hand delivered questionnaire is to be returned by mail or collected by the applicant at a later date, the collector can check off the respondent’s address on the address list at the time of collection.

**B.** If the questionnaire is to be mailed and returned by mail, the identifying information (respondent’s address) can be on the return envelope. Upon receipt of the completed questionnaire, the applicant can check off the respondent’s address on the address list. The envelope and questionnaire can then be separated, and the envelope destroyed.

**C.** Questionnaires may be coded which entails a simple method of placing a number on the questionnaires or return envelopes. Each number is assigned an address from an address list. When the questionnaire is received, a list of the codes is maintained.
D. Questionnaires may consist of two parts or two separate pages. The section with the respondent’s name and address can be separated from the income and demographic data after receipt. Where a door-to-door income survey is being conducted, the interviewer can instruct the respondent to separate the two parts of the questionnaire after completion and place the part with the income information in one envelope and the other part in another envelope.

Excluding the two-part questionnaire method, applicants can review the address list to determine which addresses did not respond to the questionnaire and require follow-up contact.

SURVEYS OF HOUSING CONDITIONS SHOULD BE CONDUCTED SEPARATELY TO ENSURE RESPONDENT CONFIDENTIALITY

L. BUILDING/CAPITAL/PHYSICAL NEEDS ASSESSMENT OR ENGINEERING REPORT

For any project that is requesting NYS CDBG funds for any multi-unit rehabilitation of five (5) or more units a building/capital/physical needs assessment or engineering report or preliminary engineering report must be included. A preliminary Engineering Report will also be required for any public facility activity. Please refer to the Request for Applications for more guidance or for a description of public facility activities. At a minimum, any Engineering Report or Preliminary Engineering Report must address the following:

1. PROJECT PLANNING
2. EXISTING FACILITIES
3. NEED FOR PROJECT
4. ALTERNATIVES CONSIDERED
5. SELECTION OF AN ALTERNATIVE
6. PROPOSED PROJECT (RECOMMENDED ALTERNATIVE)
7. CONCLUSIONS AND RECOMMENDATIONS

Click here for a full general outline of an engineering or preliminary engineering report is available on the OCR website.

M. APPLICABLE LAWS AND REGULATIONS

There are numerous federal, state and local regulations that govern or impact the State CDBG Program. It is the responsibility of the applicant to ensure compliance with all applicable federal, state and local regulations and statutes. The following is a listing that is not all inclusive, of federal regulations that apply to the State CDBG Program:

- Davis-Bacon Fair Labor Standards Act (40 USC 276a);
- Contract Work Hours and Safety Standards Act, as amended (40 USC 327-333);
- Copeland Anti-Kickback (18 USC 874)
- Title VI of the Civil Rights Act of 1964 (42 USC 200(d));
- Title VIII of the Civil Rights Act of 1968 (42 USC 3601);
- Section 504 of the Rehabilitation Act of 1973, as amended (29 USC 792 and 3601);
- Section 3 of the Housing and Urban Development Act of 1968, as amended (12 USC 1701 (u));
- Section 109 of the Housing and Urban Development Act of 1974, as amended (42 USC 5309);
- Age Discrimination Act of 1975, as amended (42 USC 6101);
- Architectural Barriers Act of 1968, as amended (42 USC 4151);
- Americans with Disabilities Act of 1991;
- Equal Employment Opportunity (Executive Order 11246, September 24, 1965);
- Equal Opportunity in Housing (Executive Order 11063, as amended by Executive Order 12259);
- The Hatch Act (5 USC 1501 et seq.);
- The National Environmental Policy Act of 1969;
- Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and amendments of 1987;
- Title IV of the Lead-Based Poisoning Prevention Act (42 USC 4831);
- HUD Reform Act of 1989;
- 24 CFR Parts 35, 58, 85, and 570;
- Housing & Community Development Act of 1974, as amended;
- Office of Management and Budget Circulars: A-200 Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards. (Replaces A-133 and A-87)