

New York State
COMMUNITY DEVELOPMENT BLOCK GRANT
(CDBG) PROGRAM

2023 HOUSING ACTIVITIES
INSTRUCTIONS



OFFICE OF COMMUNITY RENEWAL

**Homes and
Community Renewal**

**Housing
Trust Fund
Corporation**

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INSTRUCTIONS

Application Instructions

Applicants seeking NYS CDBG funding for housing activities (housing rehabilitation, private water/wastewater) must apply for funding through the 2023 Office of Community Renewal Housing Resources Funding Opportunities Application. The 2023 Application for CDBG Housing Activities will be available on the [NYS Homes and Community Renewal](#) web site on Monday, May 15, 2023. Applications will be accepted through 4:00pm Monday, August 7, 2023.

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.

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:

Six (6) exhibits:

1. Exhibit 1 – Program Summary
2. Exhibit 2 – Needs Statement
3. Exhibit 3 – Proposal and Activity Detail
4. Exhibit 4 – Administration
5. Exhibit 5 – Relevant Experience
6. Exhibit 6 – Financial Capacity

Up to twelve (12) attachments

1. Citizen Participation Documentation **[required]**
2. Applicant/Recipient Disclosure/Update Report **[required]**
3. Certification Form **[required]**
4. Vendor responsibility Questionnaire **[refer to RFA]**
5. Affirmatively Furthering Fair Housing and Supporting Documentation **[required]**
6. Program Income Report
7. Environmental Review Record **[required]**
8. Sample of Housing Conditions Survey/ Cost Estimates (at least 3) **[required]**
9. Funding Commitment Letters
10. Section 3 Compliance Plan **[refer to RFA]**
11. Contractor List **[required]**
12. Other Uploads (planning excerpts, other third-party supporting documentation)

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

- ✓ **Completing six 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***

* Please note before certifying attachments, the CDOL user must validate the online exhibits, and certify and submit the application exhibits first. Then, when certifying the attachments, you must upload all attachments or omit then go back to the main menu, then go back into your attachments for the submit/certifying button to activate.

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
- 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 1*

1B. Applicant Information

Applicant Name*, confirm this is correct

Type of Applicant*, confirm this is correct

Federal EIN*, confirm this is correct

UEI or Unique Entity Identifier, enter the municipal UEI number, this is required for all municipalities. A UEI number can be obtained from [SAM.gov](https://sam.gov).

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.

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)

Exhibit 2 – Needs Statement

2A. Community Needs Description

- Explain the need for the proposed activity (Housing Rehabilitation, Manufactured Housing Replacement, etc.) in the identified community/service area. Support with objective data relevant to the proposed activity, e.g., age of housing, results of housing conditions studies or needs assessments, homeownership rates, rent burden, vacancy rates, etc.
- Identify and summarize any planning efforts, studies or surveys that document related housing needs in the community.
- Identify related services offered in the community and explain where gaps exist.
- Explain the need for public investment, specifically why CDBG funds are required to complete the proposed activity.

2B. Waiting List

- Is there a waiting list or documented pool of applicants that are pre-qualified to receive CDBG assistance if awarded?
- If yes, provide the following details related to the existing waitlist and procedures for development and managing the list, e.g.
 - How many households are on the list?
 - What is the age of the list?
 - How is the waitlist established?
- Which eligibility criteria are confirmed to add an individual to the list, process for keeping the list up to date, source of referrals, etc.?
- **DO NOT ATTACH THE WAIT LIST TO THE APPLICATION**
- If no, describe how referrals are received and how the pipeline ensures there will be enough applicants to fulfill the proposed program.

Exhibit 3 – Proposal and Activity Detail

3A. Program Abstract

Provide a brief abstract of the proposed program. This abstract should include Organization Name, Request amount, estimated total cost, the proposed activity that CDBG funds will be used for and unique features of program. Please note, the abstract provided may be included in press materials.

Sample abstract: The Village of Sample will use \$300,000 in NYS CDBG funding to assist 10 low- and moderate-income homeowners with essential home rehabilitation. The Village will prioritize homeowners that need assistance to correct code violations and health and safety issues.

3B. Activity Detail

- Identify the anticipated deliverables or outcomes and impact of these.
- Describe how the proposed activity will support or complement current or past public programs (federal, state, local) that have directly benefited community.
- Identify other participating organizations and formal collaboration that exists surrounding the proposed effort.
- Highlight any noteworthy or innovative features or benefits of the proposed program.

3C. Schedule

- Outline the timeline for the proposed activities including key milestones that will ensure timely implementation and completion within the contract term (refer to RFA).
- This should include but is not limited to milestones including execution of grant agreement (within 45 days of award), completion of any remaining
- environmental review and obtaining approval for release of funds within 60 days of award, procurement (professional services & contractors), disbursements, first file review, etc.

3D. Program Regulations and Policies

National Objective (Income Certification): Identify the National Objective category the proposed project activity will meet. Describe the process for determining income eligibility, specifically, locating median income data, method that will be utilized and the type and time period for supporting documentation.

Procurement of Professional Services: Describe all services including consultants, sub-recipients and/or contractors that will be procured for the proposed program. Outline, in detail, the process for advertisement, review and selection and describe how the process will comply with federal regulations.

Security Instrument (Note & Mortgage): Explain procedures and timing for preparing and executing the required restrictive covenant or note & mortgage. Describe procedures planned to confirm a participant's understanding of the program requirements and obligations prior to signing and executing the security instruments. Specifically explain how and when a participant will be informed of the terms of the required security instrument(s) including but not limited to when the period of affordability (POA) begins and ends, when it will be signed, the compliance obligations, and the recording/filing process.

Written Agreement: Summarize how and when a participant will be informed of the terms of the written agreement including but not limited to when the agreement will be signed, the difference between the written agreement and the security instrument(s) and ensuring the timing of documenting eligibility is no more than twelve (12) months old at the time of assistance.

Exhibit 4 – Administration

4A. Staffing Plan

Present your staffing plan for the project and identify the employees, sub-recipient, or consultants that will be assigned to work on the proposed program for each of the responsibilities listed below. Identify relevant experience and the estimated number of hours per week they will be working on the CDBG program.

1. General CDBG program management and compliance oversight
2. Application review/ income eligibility
3. Construction management and inspections
4. Preparation of work write-ups/ cost estimates
5. Procurement efforts
6. Tier II environmental review activities
7. Lead based paint/ asbestos activities
8. Disbursement/ financial management
9. Preparation of homeowner agreement and recording of Notes & Mortgages

4B. Administrative Experience

- How is the Applicant uniquely positioned to accomplish the goals of the application? Identify policies and procedures in place that will ensure timely implementation of the proposed program.
- Briefly explain any specific accomplishment(s) while administering a previous housing grant.
- Briefly explain any obstacles, delays, or administrative issues while administering a previous housing grant and how they were overcome. Explain changes implemented to ensure successful administration of future grants.

Exhibit 5 – Relevant Experience

5A. Relevant Experience

- Organization involved in the local program this section is being completed for:
- Local Program Name:
- Program Administrator/Contact Person Name:
- Role:
- Type:
- Contract Start Date:
- Contract End Date:
- Percentage Completed:
- Number of Units:
- Population Served:
- Total Cost:
- Program Funding Source:
- Program Funding Agency:
- Funding Source Contact Name:
- Funding Source Contact Phone:

Exhibit 6 – Financial Capacity

6A. Budget Summary

Explain the proposed CDBG program budget. This explanation of the program budget must be consistent with the required Funds Requested (Exhibit 1A). Summarize:

- Other sources (include only if other sources will directly contribute to completing the proposed activity, provide the name of the
- source and the amount secured, along with a funding commitment letter from the funding source in the attachments).
- How the budget was determined, and costs were developed. Provide relevant cost estimates.
- Expected amount of CDBG funding per participant and how that was determined.
- Process for requesting disbursements, i.e., progress payments or full reimbursement at completion, staff involved, etc.

For information on the following, refer to the full [2023 CDBG Housing Request for Applications](#)

1. National Objectives Compliance Documentation
2. Income Surveys
3. HUD Income Limits
4. Definition of Income
5. Section 3 Compliance
6. Applicable Laws & Regulations