

**NYS Homes and Community Renewal - Housing Trust Fund Corporation**

**2023-24 Program Year Application for New Companies**

**Neighborhood Preservation Program (NPP) and Rural Preservation Program (RPP)**

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Application and all related documents must be received by 4pm on **Wednesday, December 20, 2023**

**Select Program:** NPP: RPP:

**Applicant Name:**

**Mailing Address:**

**City, State, Zip:**

**\*Office Address:**

**County:** Phone:

**Web Address:**

**General Email:**

**FEIN:** Charities #:

**Executive Director:**

**Email and Phone:**

**Board President:**

**Mailing Address:**

**Email and Phone:**

**Contact for Grant:**

**Email:**

\*If the applicant's mailing address differs from its office address located within the approved NPP or RPP service area, please include the physical office address on this line.

**Application Certification**

The organization applying to the Housing Trust Fund Corporation hereby certifies that all responses provided herein and in all sections of this application are true and accurate and in accordance with the requirements described under Articles XVI and XVII of PHFL. The applicant understands that NYS HCR may ask for documentation to support the responses provided in all sections of this application. Further, the applicant certifies that the undersigned has authorization to sign for the organization.

Name of Executive Director:

Date:

Executive Director's Signature:



## A1 - NPP and RPP Threshold Eligibility Requirements

Applicants to the Neighborhood Preservation Program (NPP) or Rural Preservation Program (RPP) must meet the following threshold eligibility criteria to advance to a full application review. Failure to satisfy all threshold eligibility criteria will disqualify the applicant from further consideration or review.

1. The organization is actively engaged in activities related to the preservation, stabilization, or improvement of neighborhoods/rural areas including owner occupied and rental home repair/rehabilitation; construction of new, affordable housing; tenant/homeowner assistance; subsidy assistance; community planning; or community assistance (after school care; recreation programming; food pantry) and has been conducting these activities for at least 5 years.	Yes	No
2. The organization is not currently a preservation company funded by HCR.	Yes	No
3. A substantial portion of the residential population in the service area the applicant proposes to assist through its activities must be persons of low-income. This is defined as residents whose median household income (MHI) does not exceed 90 percent for all residents of the municipality (for NPCs) or region (for RPCs) within which they reside.	Yes	No
4. The organization has funding available to meet N/RPP program matching requirements. This will be a minimum of at least one-third of the total grant award. Matching funds are any additional funds expended to support the objectives of the organization's housing and community renewal programs.	Yes	No
5. The organization's NPP or RPP budget clearly demonstrates that grant funds will be utilized for <u>administrative purposes only</u> (salaries/wages to employees, fees to consultants and professionals, who are engaged in rendering housing preservation and community renewal activities, office equipment/supplies, etc.).	Yes	No
6. The applicant or its affiliates have not been in default on federal, state, or local loans or taxes; nor has the applicant or any of its affiliates had a finding of evidence of fraud or abuse for seven years prior to submitting this renewal application.	Yes	No
7. The applicant has an office in the the proposed service area.	Yes	No
8. The applicant certifies that its Board of Directors is representative of the approved NPP or RPP service area, meets the requirements defined by the organization's by-laws, and meets the following program requirements (answer one):		
<b>NPP:</b> Board must have at least seven (7) members and 33% of the board must be residents (not work—live in) in the approved service area.	Yes	No
<b>RPP:</b> Board must have at least five (5) members and 51% of the board must be residents (not work—live in) in the approved service area.	Yes	No

If any of the above questions were answered "NO", the organization is not eligible for NPP / RPP funding. Do not complete the remainder of the application.

## **A1 – Certification of the Proposed Service Area and Community Need**

### **Neighborhood Preservation Program (NPP)**

Article XVI of NYS Private Housing Finance Law (PHFL) is the enabling legislation for the NPP. Article XVI states:

(a) “That the geographic boundaries...define a recognized or established neighborhood or area within the municipality.

(b) “That the demographic and other relevant data pertaining to such neighborhood indicate that the neighborhood has sustained physical deterioration, decay, neglect or disinvestment, that a substantial proportion of the residential population that the neighborhood preservation company proposes to assist through its activities is of low income and that such neighborhood is in need of active intervention to affect its preservation, stabilization or improvement.”

"Persons of low income" shall mean individuals and families whose annual incomes do not exceed ninety per cent of the median annual income for all residents of the municipality within which they reside.”

### **Rural Preservation Program (RPP)**

Article XVII of NYS Private Housing Finance Law (PHFL) is the enabling legislative for the RPP. Article XVII states:

(a) “That the region proposed to be served by the applicant is an appropriate portion of the rural area of the state for the performance of activities pursuant to this article by a corporation.

(b) “That such region contains significant unmet housing needs of persons of low income, that a substantial portion of its population consists of such persons, and that the housing stock in the region, because of its age, deterioration, or other factors, requires improvement in order to preserve the communities within the region.”

"Persons of low income" shall mean individuals and families whose annual incomes do not exceed ninety per cent of the median annual income for all residents of the region within which they reside or a larger area encompassing such region for which median annual income can be determined.”

By checking this box, the organization submitting this renewal application to the Housing Trust Fund Corporation hereby certifies that the Neighborhood or Rural Preservation Program service area meets statutory requirements found in Section 903 (3)(b) of Article XVI for the Neighborhood Preservation Program and in Section 1003(3)(b) of Article XVII for the Rural Preservation Program.	Agree
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1. Describe the applicant’s proposed NPP or RPP service area.

## **A1 – Certification of the Approved Service Area and Community Need**

2. Describe the housing and community development needs of the proposed service area. Use relevant data to support how the service area meets the eligibility requirements of the program. Explain the applicant organization's past and current role in the proposed service area and demonstrate how N/RPP funding will strengthen capacity or lead to new opportunities.

*In addition to census data, applicants may choose to reference other relevant data including, but not limited to, percentage of persons or households living below poverty, rent burden, high-cost area indicators, low vacancy rates, overcrowded units, poor housing conditions and other factors contributing to lack of affordable housing, high unemployment rates and other state or federal designations related to areas that have experienced disinvestment.*

## **A1 — Organizational Governance & Board of Directors Compliance**

1. The organization's bylaws and practices conform to the <a href="#">Not-for-Profit Revitalization Act of 2013</a> .	Yes	No
2. Financial statements are presented to the board for review in accordance with the organization's bylaws.	Yes	No
3. The organization is up to date with NYS Charities Bureau filings. This is a requirement for Preservation Program funding.	Yes	No
4. The organization has a written conflict-of-interest policy and all directors, officers, and employees have signed the conflict-of-interest declarations.	Yes	No
5. The organization confirms that no members of the board are current or recent (within the last two years) employees of NYS Homes & Community Renewal.	Yes	No
6. Does the organization pay any of its board members?	Yes	No
7. Are any members of the board also employees of the organization?	Yes	No
8. Are there term limits in place for board members?	Yes	No
9. How many board members are required by the organization's bylaws:	Minimum #	Maximum #
10. How frequently does the board meet per the organization's bylaws:		
11. When is the organization's fiscal year end?		
12. Having a physical presence in the NPP or RPP service area is a statutory requirement of both programs. What are the daily operating hours of the office (the physical office in the proposed service area--not remote work)?		

Please use the space below to further explain any "No" response to Questions 1-5.

## **A1 – Other Funding Sources**

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1. If applicable, please select other **HCR** programs below that the applicant has active contracts with (“active” meaning not closed out).

Access to Home	Multifamily Finance Program 9% LIHTC
Access to Home for Heroes	NYS Main Street
Access to Home for Medicaid	NYS HOME Program
Affordable Housing Corporation (AHC)	Resilient Retrofits
Buffalo Main Streets Initiative	RESTORE
CDBG Subrecipient	Rural Rental Assistance Program
CDBG CARES	Section 8 Project Based Vouchers
Lake Ontario-St. Lawrence River Flood Relief	Small Rental Development Initiative (SRDI)
Legislative Initiative Grant	State Low-Income Housing Tax Credits (SLIHC)
Mobile & Manufactured Home Replacement	Weatherization Assistance Program
Multifamily Finance Program 4% LIHTC	

2. If applicable, please select the other **state** programs from the list below that the applicant has active contracts with:

Empire State Supportive Housing Initiative (ESSHI)	NYS Supportive Housing Program (NYSSHP)
Emergency Needs for the Homeless Program (ENHP)	NYSERDA NY SUN
Homeless Housing Assistance Program (HHAP)	NYSERDA Multifamily Financing
Homeowner Protection Program (HOPP)	NYSERDA (Other)
Housing Opportunities for Persons with AIDS (HOPWA)	Operational Support for AIDS Housing (OSAH)
Emergency Solutions Grant (ESG)	

3. List any **local** funding sources or agencies that support the applicant’s community preservation activities for the 2023-24 Program Year:



## **A1 – Fiscal and Organizational Certifications**

Directions: Confirm that the following statements are true by checking "Agree." If the applicant is unable to select "Agree" for any of the certifications, provide an explanation in the field at the end of the section.

1. If approved, the organization will request final payment of Preservation Program funds no later than March 15, 2024.	Agree
2. The applicant has qualified staff and requisite office space necessary to carry out the activities proposed in the 2023-24 NPP or RPP work plan, as required by the Program Rules & Regulations.	Agree
3. If approved, the applicant will submit the most recent financial documents required under the Not-For-Profit Act of 2013 (i.e., a full audit, or financial statements) with the Mid-Year Report that contains a schedule that details costs related to housing preservation activities.	Agree
4. The applicant certifies that professional services or consultants paid with Preservation Program funds will have a written agreement and fees will be paid in accordance with HCR policy.	Agree
5. If approved, the applicant has a system in place to track Preservation Program funds and hours worked by Preservation Program staff. Private Housing Finance Law and the Program Rules & Regulations require organizations to maintain accurate records of all financial transactions related to the performance of the contract.	Agree
6. If approved, the applicant has a system in place to inventory equipment purchased with Preservation Program funding and a disposition policy for this equipment. Choose N/A only if the organization does not plan to use Preservation Program funds to purchase equipment.	Agree N/A
7. The applicant will disclose in this application if it or any of its affiliates has filed for bankruptcy in the last seven (7) years. OCR reserves the right to deny the applicant's request for funding based on concerns for the applicant's overall fiscal health and / or capacity.	Agree
8. The applicant finished the most recent fiscal year with a positive fund balance.	Agree
9. If approved, the applicant certifies that NPP/RPP funds will be used for stated eligible administrative expenses only and <u>not</u> for capital expenses such as: construction, repair, renovation, rehabilitation, operation, demolition, clearance or sealing of any building or other structure. Funds cannot be used to pay employees to complete these activities.	Agree
10. The applicant will submit a Vendor Responsibility Questionnaire (VRQ) that is signed by the executive director. The VRQ must also include a listing of all <u>state</u> grants received, the funding source, and amounts over the last three years.	Agree
11. No member of the Board of Directors or staff of the applicant organization will directly or indirectly benefit financially from administration of the program. Any matter regarding any potential conflict of interest or appearance of impropriety arising in connection with this program must be disclosed at the time of application or when the conflict is identified.	Agree
12. The applicant understands that if a Grant Agreement is not executed by 3/31/24 the applicant will forfeit all or a portion of the award.	Agree
13. The applicant will comply with all rules, regulations, statutory requirements, and conflict of interest policies of Article XVI and Article XVII of Private Housing Finance Law and accepts the administrative, programmatic, and reporting responsibilities under these programs.	Agree



## **A1 – Fiscal and Organizational Certifications**

Directions: Confirm that the following statements are true by checking "Agree." If the applicant is unable to select "Agree" for any of the certifications, provide an explanation in the field at the end of the section.

<p>14. The applicant will disclose if any of its employees, affiliates, program partners, subcontractors, and/or consultants have been the subject of a criminal investigation and/or charged with a crime in the last five (5) years at the time of application or within one (1) week of the issue being identified. HCR reserves the right to deny the applicant's request for funding based on concerns for the applicant's overall organizational health and/or capacity.</p>	<p>Agree</p>
<p>15. The applicant has not experienced any of the following and shall notify HCR within five (5) calendar days after obtaining knowledge of a) the commencement of any Investigation or audit of its activities by any governmental agency, specifically housing discrimination; or b) the alleged default by the applicant under any mortgage, deed of trust, security agreement, loan agreement or credit instrument executed; or c) the allegation of ineligible activities, misuse of any award, or failure to comply with the terms of the application. Upon receipt of such notification, HCR may, in its discretion, withhold or suspend payment of some or all of the Award and reserves the right to deny application for funds for any HCR program.</p>	<p>Agree</p>
<p>16. Neither the applicant, nor any principal, partner, or staff member of the applicant organization has experienced default, non-compliance, debarment, suspension or termination of funds, or been otherwise restricted by DOL, HUD, USDA, ESDC, HFA, HTFC, DHCR, AHC or other federal, state, or local authority.</p>	<p>Agree</p>
<p>17. The applicant further certifies there are no unresolved findings raised as a result of audits, management reviews, or other investigations concerning projects, contracts, or programs for which the Applicant organization is involved, and Applicant has not been the subject of a claim under an employee fidelity bond.</p>	<p>Agree</p>
<p>18. The applicant certifies that all employees and the board of directors for the company have signed a conflict-of-interest form and will disclose any potential conflicts of interest.</p>	<p>Agree</p>
<p>19. Sections §907 of Article XVI and § 1007 of Article XVII prohibit applicants from engaging in political activity or using program funds to influence legislation. Per N/RPP Rules and Regulations, please certify neither any voting members, officers of the organization's board, nor staff in management positions, except where otherwise required by statute, hold any of the following positions:</p> <ul style="list-style-type: none"> <li>• State legislators or legislative staffers who hold policymaking positions; Commissioners and chairpersons of State departments; deputies and assistants (including members or directors of public authorities, public benefit corporations, boards, commissions, or councils);</li> <li>• Staff of NYSHCR; Statewide elected officials and staffers who hold policymaking positions.</li> <li>• Commissioners and chairpersons of State departments; deputies and assistants (including members or directors of public authorities, public benefit corporations, boards, commissions, or councils).</li> <li>• Chief executive officials and members of legislative bodies of counties having a population of 275,000 or more, or cities, towns, and villages having a population of 20,000 or more, within the county where the Company is located except where board membership for such persons is mandated by other relevant Federal or State statutes; and</li> <li>• Political party chairpersons, party organization leaders and members of the executive committees in the State, counties having a population of 275,000 or more, within which the company is located, or cities, towns and villages having a population of 20,000 or more, within the county in which the company is located.</li> </ul>	<p>Agree</p>

<p>20. The information and supporting documentation contained in this application are complete and accurate and acknowledges that falsification of information will result in disqualification of application, denial of funding, rescinding of subsequent award and contract or required repayment of funds disbursed for any Homes and Community Renewal (HCR) Program. The undersigned further recognizes and accepts the responsibility and obligation to notify the Housing Trust Fund Corporation (HTFC) and the Office of Community Renewal (OCR), in writing, if the Applicant becomes aware of any subsequent events or information which would change any statements or representations previously submitted to HTFC or OCR. The Applicant will notify HCR within five (5) calendar days of any change of staff related to the program award and administration.</p>	<p>Agree</p>
<p>21. The applicant is not a local authority, or an instrumentality of local government, nor are they otherwise intertwined with units of local government.</p>	<p>Agree</p>

Please use the space below to provide an explanation for any certifications that could not be agreed to: