New York State
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PROGRAM

2026 HOUSING ACTIVITIES

APPLICATION INSTRUCTIONS

NEW YORK STATE
Homes and Community Renewal
Housing Trust Fund Corporation

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I. New York State CDBG Program

Program Description

The Community Development Block Grant or CDBG Program is a unique source of federal funding for cities, town, villages, and counties to assist low- and moderate-income communities, households, and people. CDBG funding assistance can include everything from drinking water and sanitary sewer projects to grants for home repair, senior and community center improvements to grants to small business for start-up and expansion.

Eligible Applicants

The Office of Community Renewal administers the Community Development Block Grant (CDBG) program for the State of New York. The NYS CDBG program provides financial assistance to eligible cities, towns, and villages with populations under 50,000 and counties with an area population under 200,000, to develop viable communities by providing decent, affordable housing, and suitable living environments, as well as expanding economic opportunities, principally for people of low and moderate income. Please check our ELIGIBLE COMMUNITIES LIST.

The program objectives are achieved by supporting activities or projects that benefit low- and moderate-income families; create job opportunities for low- and moderate-income persons; prevent or eliminate blight; or address a community development need that poses a serious and imminent threat to the community's health or welfare.

II. Community Development Online (CDOL) Application System

Applications for NYS CDBG Program housing activities funding are submitted through the Community Development Online (CDOL) application system. Applicants may make a request, based on demonstrated need, to submit a paper application in lieu of using the CDOL. Requests for approval to submit a paper application must be sent to OCRINFO@hcr.ny.gov.

NYS CDBG Program Application exhibits and attachments must be submitted *and certified* in the CDOL system by 4:00 PM (EST) Wednesday, September 23, 2026.

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

Registering Applicant & Security Manager

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

To use CDOL, applicants must:

- Be registered in the CDOL application system.
- 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.

Forms are available on HCR's website: https://hcr.ny.gov/community-development-online.

A. **If the organization has not previously applied for funding:**

Submit

a. SHARS-CDOL Applicant Registration Form, and
b. CDOL Security Manager Registration Form

Follow directions on the forms. OCR staff will register the organization and Security Manager and e-mail a USER ID and password to access CDOL.

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

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

C. **If the organization has previously used the CDOL system to apply for funding:**

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

III. Identifying and Registering Organization's Electronic Signatory

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

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

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

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

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

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

6. CDOL will generate an e-mail providing the user with their User ID and temporary password. Later, when the application exhibits are complete, validated, and ready to be submitted, the certifier must log-in to 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, the applicant organization must verify and update the organization information. To do so, log in, 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.

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

CDOL Applicant Information Fields to review and verify:

1. 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.

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

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

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

5. 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.

6. 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.

IV. Application Overview

Contents of Application

A complete NYS CDBG Program application includes Five (5) exhibits, an electronic certification, and seventeen (17) possible attachments.

Exhibits:

Exhibit 1 – Program Summary

Exhibit 2 – Need Proposal

Exhibit 3 – Program Design

Exhibit 4 – Infrastructure in Support of Housing Activities only

Exhibit 5 – Budget/Financing Plan

Attachments:

Required = “R”

Attachment 1 – Citizen Participation Documentation - R

Attachment 2 – Applicant Certification R Documentation

Attachment 3 – National Objective Compliance - R

Attachment 4 – Vendor Responsibility Questionnaire

Attachment 5 - Affirmatively Furthering Fair Housing and Supporting Documentation - R

Attachment 6 – Program Income Report - R

Attachment 7 – Draft Environmental Review Record - R

Attachment 8 – Sample of Housing Conditions Survey and Cost Estimates (at least 3) - R

Attachment 9 – Funding Commitment Letters

Attachment 10 - Smart Growth Impact Evaluation Form - R

Attachment 11 – Project Team - R

Attachment 12 – Other needs documentation (planning excerpts, preliminary engineering/architectural reports, other agency findings, e.g. consent orders, notices of violations or compliance schedule, demonstrated community or political support, i.e. support letters)

Attachment 13 – Project Schedule - R

Attachment 14 – Sample agreements that will be used with program participants

Attachment 15 – Purchase agreements, property acquisition, easements, evidence of site control

Civil Rights Documentation

Attachment 16 – Civil Right Documentation - R

Attachment 17 – Preliminary Engineering Report (Infrastructure in Support of Housing – only)

Application Process

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

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

V. Completing Application Exhibits

Do not enter zero '0' in exhibit fields. If funds are not requested funds for a particular Activity, leave the field blank.

Creating a New Application in CDOL

1. Log in to CDOL https://hcr.ny.gov/community-development-online
2. Select 'CBDG Housing Application' from the 'Application Type' drop-down menu.
3. Next to 'Start a New Application' under the 'Applications' **heading, enter a distinct name** for the proposed program. If awarded, the Application Name entered here will be used to label contract materials and to describe the program throughout the contract term.
4. Press 'Submit' button.

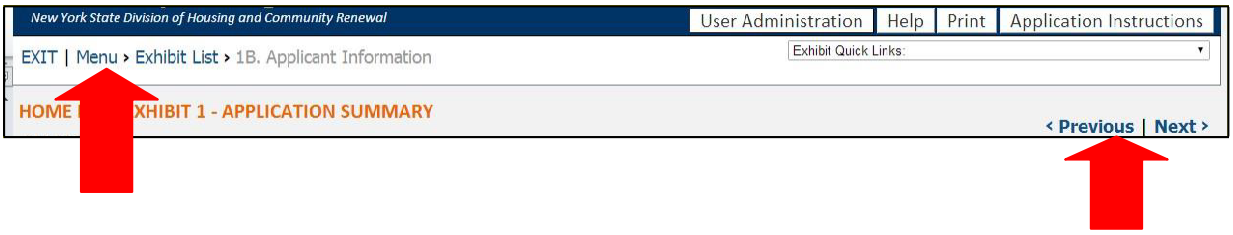
   A table of contents will be displayed with a list of all NYS CDBG Program Application Exhibits broken down by individual screens in CDOL. Instructions for completing each exhibit follow.

Application Exhibit Navigation

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

1. If the Exhibit is complete and accurate, a message will appear at the top of the screen in green to notify the applicant that the 'Updates have been successfully saved'.
2. 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 the message 'Updates have been successfully saved,' is displayed press the 'Next' navigation button at the top right of the screen to move to the next application Exhibit.



DO NOT use the internet browser back and forward buttons to navigate in CDOL. Use the Previous and Next links 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.

VI. Exhibit 1 – Program Summary

1A. General Program information and Funds Requested

Project Name: (Sample) The Town of Upstate Lead Lateral Replacement Program

Date of Public Hearing: 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 List of Attachments*

Budget: Select the Proposed Activity/Uses of Funds

- Infrastructure in Support of Existing Housing
- Single Unit Housing Rehabilitation

Enter total CDBG funds requested and the amount of funding from other sources for each relevant activity. This includes all administration and program delivery. Round to the nearest dollar.

Enter the number of single-family owner-occupied units are estimated as a result of the proposed project.

Maximum Award Amounts:

Infrastructure in Support of Existing Housing	$1,500,000
Single Family Housing Rehabilitation	$ 750,000
Grant Administration & Program Delivery	18%*

*Applicants may request up to 18% of the CDBG award in program delivery, and administration. Of the 18%, administration must not exceed more than 5% and program delivery must not exceed 13% of the total CDBG funds requested for the activity.

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 UEI number assigned from SAM.gov.

- The UEI is a 12-character, alphanumeric value generated while registering in SAM.gov. If you are registered in SAM.gov (active or not), you already have a Unique Entity ID. It is viewable at SAM.gov. If you are new to SAM.gov and will be registering for the first time, you will get your Unique Entity ID during registration. Receiving this ID is required prior to contract execution.

- Use these instructions for look up your UEI number
- The UEI must be:
  - Linked to the applicant organization
  - Registered with an address that matches the application
  - Shows that the SAM.gov registration is currently active
  - Publicly accessible so if awarded it can be verified by HCR upon contract execution

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, if chose “Single Site” in the dropdown above, or leave blank.

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

Municipality(ies): Select the municipality where the program will be implemented. If the service area spans more than one municipality, list all municipalities.

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

Latitude & Longitude

Enter the program latitude and longitude. Applicants must enter the latitude and longitude with enough digits to completely fill the question field. If the source used does not result in enough digits to completely fill the field, just add zeros at the end. Applicants may use online sources to obtain the Latitude or Longitude.

Using the link in CDOL Latitude and Longitude Finder, applicants can follow the instructions to obtain the data.

Note – the Longitude data is a negative number

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

1D. Political Districts

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

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

1E. Proposed Accomplishments (Infrastructure in Support of Housing only)

Enter the number of persons benefitting from the proposed project, broken down by LMI and non-LMI. The table will auto-calculate overall LMI percentage.

VII. Exhibit 2 – Need Proposal

2A. Program Abstract

Provide a brief abstract of the proposed program. The abstract provided may be included in press materials.

The abstract should include, but not be limited to the following information:

- Organization name
- Service Area
- Requested Amount of Funds
- Main Goals(s) of the Program
- Proposed Activity (Housing Rehabilitation, Infrastructure in Support of Housing)
- Proposed accomplishments
- Any unique features of program.

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.

PLEASE NOTE: Applications are subject to public inspection following the completion of the funding round. Therefore, all information that is provided must be in a "blind" format. Do NOT provide information that identifies individual residents of the service area.

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

2B. Program Activities

Describe the housing rehabilitation and/or infrastructure in support of housing activities proposed including any unique program features and targeted populations of the program.

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

2C. Service Area

- Define the boundaries of the targeted service area.
- Explain how the service area was selected, which may include summary of surveys, and /or studies that document related housing needs in the community and supporting data such as age of housing stock, homeownership rates, housing conditions, etc.
- Describe the services currently provided by the Applicant (and subrecipient, if applicable) in the proposed service area.
- Does the program cover a municipality(ies) designated as a Pro-Housing Community, or has the

municipality(ies) submitted a letter of intent initiating the Pro-Housing Community certification process?

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

2D. Need for Program & CDBG Funding

The project proposed in the application should reflect the priorities of the local government. The response should include a community need statement that describes the problem and a description of the type of work that would address the associated community need.

Explain the need for the proposed program in the service area, specifically demonstrating the need for public investment and why CDBG funds are necessary to undertake the proposed activity, including the community’s inability to secure sufficient funding or assistance through other methods or resources. Also include, at a minimum, :

For infrastructure in support of housing activities:

- Describe the health and safety hazards presented by the existing conditions of the infrastructure.
- Describe other efforts to address these conditions, including other funding sources pursued.
- Attach preliminary engineering report, consent orders, notice of violations, local code enforcement actions, and any other third-party evidence of need.

For housing rehabilitation activities:

- Provide the percentage of owner-occupied housing units and the percentage of owner-occupied housing units built before 1980.
- Provide the median year in which housing units were built, broken down by whether they are owner occupied, or renter occupied.
- Describe the current housing conditions in the proposed service area, including challenges that low to moderate income homeowners face.
- Describe relevant, similar services currently provided in the area by the applicant and/or other entities. If a gap in services exists, detail the need and describe how the proposed program will address the needs.
- Attach supporting documentation such as a sample of housing conditions surveys and cost estimates (at least 3).

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

VIII. Exhibit 3 – Program Design

3A. Marketing and Intake Process

Describe the marketing and outreach strategy:

- Used to determine interest in the proposed program (pre-application)
- That *will be used* to make potential participants aware of availability of funds (after award)
- Thar *will be used* to communicate eligibility information to potential participants. This includes a description of

Program materials, such as brochures, participant applications, grant agreements, etc.

Describe the required application intake process and documentation that will be required. This should include, but not be limited to:

- A description of how applications are prioritized, selected, and notified.
- The timing of steps in the intake process as it relates to other program milestones.
- If there is an existing pool of applicants that are pre-qualified provide the number of households on the waitlist, details related to the existing waitlist, and procedures for developing and managing the list. Explain eligibility criteria to add an individual to the waitlist; the process for keeping the waitlist up to date; and where the referrals are coming from.
- If there isn't a waitlist, describe the approach to establish a pipeline of referrals and an applicant recruitment strategy to ensure there will be enough applicants to fulfill the proposed level of assistance.

3B. Income Eligibility

Describe the process to verify income eligibility, property ownership and occupancy, including but not limited to:

- How to identify the area median income limit
- Which method will be utilized to document annual income of program participants
- The type and time period for required supporting documentation
- Acknowledge plan to use and prior experience using the HUD CPD calculator

For housing rehabilitation: to determine whether a household is low- and moderate income CDBG permits two definitions:

- Adjusted gross income as defined for purposes of reporting under internal revenue service (IRS) form 1040 for individual federal annual income tax purposes.
- Annual income as defined under the Section 8 housing assistance payments program at 24 CFR part 5.

Definitions of income can be found at 24 CFR 5.609 and in the table below. Documentation must be no more than 12 months old at the time of assistance.

General Category	24 CFR 5.609 paragraph (b) Income Inclusions
1. Income from wages, salaries, tips, etc.	**The full amount, before any payroll deductions, of wages and salaries, overtime pay, commissions, fees, tips and bonuses, and other compensation for personal services.**
2. Business Income	**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.**
3. Interest & Dividend Income	**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.**
	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,

4. Retirement & Insurance Income	**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).**
5. Unemployment & Disability Income	**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).**
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).**

For infrastructure in support of housing: Income eligibility can be determined with census data or income survey data. For further guidance on achieving National Objective, refer to the Request for Applications (RFA) here: https://hcr.ny.gov/community-development-block-grant#funding-round-materials, or to the income survey toolkit and resources found here: https://hcr.ny.gov/community-development-block-grant#toolkits

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

3C. Written Agreement, Security Instruments and Period of Affordability

- Summarize how and when a written agreement will be executed with eligible participants to explain the terms and conditions of accepting CDBG assistance. Including the timing of executing this document compared to when income eligibility will be determined.
- Describe the efforts planned to confirm the participant’s understanding of the program requirements and obligations including the period of affordability.
- Explain the procedures and timing for preparing, executing, and recording the required declaration of interest.

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

3D. Project Development

Describe how the applicant will develop a scope of work and initial estimate of costs for each project. This must include a detailed description of process and personnel involved.

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

3E. Construction

Describe how the applicant will manage all phases of rehabilitation/construction for each project. This must include:

- The process to execute a participant and contractor agreement with the homeowner
- Homeowner sign-off and payment
- Construction monitoring, final inspection, and confirming code compliance
- Dispute resolution

Relocation - Note that the CDBG program is subject to an overall policy of minimizing displacement and is subject to the Uniform Relocation Act (URA) and Section 104(d) of the Housing and Community Development Act of 1974, as amended.

The Residential Anti-Displacement & Relocation Assistance Plan establishes the policy to minimize displacement as a result of an investment by the federal HOME, CDBG, and/or federal HTF programs. NYS CDBG programs must provide reasonable benefits and relocation assistance to any person involuntarily and permanently displaced as a result of the use of NYS CDBG Program funds.

Any purchase of property, including the use of down payment assistance meeting the requirements of the URA must be documented, including provision of notices to the seller identifying the transaction as a voluntary sale not under the threat of eminent domain.

Generally, the activities offered in this RFA are considered voluntary and may allow for temporary optional relocation assistance which can be paid for with CBG funds. Details of this assistance are covered in the CDBG Housing Rehabilitation Administrative Plan.

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

3F. Conflict of Interest

Describe the applicant’s conflict of interest policy that will be used during administration of the proposed program. This must include written standards of conduct for both contracting for and participation in the program. The response must acknowledge OCR’s conflict of interest procedures and disclosure requirements.

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

3G. Organizational Capacity

3G-1. Roles and Responsibilities of the Program Administrative Team

Identify the employees, subrecipients, consultants and/or contractors that will be assigned to work on the proposed program for each of the following responsibilities. Include their relevant experience and the estimated number of hours per week they will be working on the CDBG program.

a) General CDBG program management and compliance oversight
b) Application review/ income eligibility
c) Preparation of homeowner agreement and recording of Declaration of Interest in Property
d) Preparation of scope of work / cost estimates
e) Procurement efforts
f) Construction management and inspections
g) Environmental review activities
h) Lead based paint/ asbestos activities
i) Disbursement/ financial management

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

3G-2. Relevant Experience

Applicants for NYS CDBG Program funds are subject to an evaluation of prior OCR program funding history, prior program administration performance and organizational capacity. Factors such as the rate of expenditure during the term of the contract, the number of contract extensions requested, if funds were de-obligated and compliance with all terms will be used to determine satisfactory performance for all applicants. Applicants may be negatively impacted by unsatisfactory performance or may be determined to be ineligible for a grant when prior performance demonstrates a significant lack of capacity to carry out the proposed project or program as required by the applicable laws, regulations, policies and procedures governing the program.

Applicants must resolve all outstanding monitoring and/or non-compliance issues that involve a violation of Federal, State, or local regulations and/or program and OCR requirements prior to the submission of an application for funding. Applicants that do not resolve monitoring and/or non-compliance issues will be deemed ineligible, and the application will not be accepted or reviewed. The OCR will provide, upon request, status information related to the above items for any potential applicants.

Responses in this section should align with the data and details provided in Exhibit 4C.

- Provide examples of recent CDBG awards or similar programs that applicant has administered within the past three to five years, including those that are in progress and/or those completed during that timeframe.
- Describe the outcome and accomplishments of those projects, highlight any administrative issues that occurred, and what corrective action was established to ensure the issues were resolved.

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

3H. Procurement

Describe all services including consultants, subrecipients 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.

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

3I. Fair Housing

What policies and procedure are in place to ensure fair housing? Is there a Fair Housing/Affirmative Marketing Plan already in place? For Affirmatively Fair Housing (AFFH) requirements prior to award and during implementation, please see the Request for Applications (RFA) here: https://hcr.ny.gov/community-development-block-grant#funding-round-materials

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

3J. Lead Based Paint Compliance

For housing rehabilitation activities, provide a description of how the proposed program will comply with Lead-Based Paint regulations. A Lead-Based Paint Compliance Plan can be provided as an exhibit.

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

IX. Exhibit 4 – Infrastructure in Support of Housing activities only

4A. National Objective and Reporting

Describe how the project will meet HUD's national objective and provide the number of people benefiting from the proposed improvements. This description must match any attachments to the application. Note that Infrastructure in Support of Housing activities typically meet national objective on a "area" basis, that is, the improvements assist an entire residential area. For information on achieving national objective, please reference Chapter 5 of the NYS CDBG Administration Manual and/or the NYS CDBG Income Survey Methodology toolkit here: https://hcr.ny.gov/cdbg-grant-administration-manual-chapter-5-eligibility-guidelines and here: https://hcr.ny.gov/community-development-block-grant#toolkits

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

4B. Bidding and Construction

Provide a detailed description of how the applicant will undertake bidding and construction of the project including:

- Method of compliance with state and federal requirements around Davis Bacon, Section 3, etc.
- Administrative approach, including personnel involved in design, bidding, and construction oversight

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

4C. Build America-Buy America

For water and sewer infrastructure projects in support of existing housing, describe plans to comply with the Build America, Buy America Act or describe the circumstances that may lead to requesting a waiver if the project is awarded CDBG funding.

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

X. Exhibit 5– Budget/Financing Plan

4A. Budget Summary

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

- Provide a detailed budget narrative. Identify each of the estimated costs, including the source of the funds and proposed use. This must include any administrative or program delivery costs
- Describe How budget figures were determined, including engineering, and if applicable, program delivery and administration

  Provide the expected amount of CDBG assistance per housing unit and how that was determined

  Describe the availability of all non-CDBG funding commitments.

4B. Disbursements

Describe the process for requesting disbursements including the staff responsibilities and separation of duties. Include a description of how CDBG funds will be disbursed on a pro-rata basis with other sources, where applicable.

How will the applicant exercise strong internal controls (policies, procedures, job responsibilities and records) and accountability over CDBG funds? Describe the process used to track the movement of grant funds and the personnel involved in these functions.

4C. Relevant Experience

Responses in this section should align with the narrative response provided in Exhibit 3G.2.

Provide examples for recent CDBG awards or similar programs that applicant has administered within the past three to five years, including those that are in progress and/or those completed during that timeframe.

Check the ‘Not Applicable’ box at the top of the Exhibit if there is no relevant experience to report.

Type: From the drop-down menu, select the type of activity that best describes the project/program.
Contract Start/End Dates: Enter the month and year (mm/yyyy) that work on the project/program began and the month it was completed, or the expected completion date.
Percentage Complete: Enter the percentage complete based on the funds disbursed and activities completed.
Number of Units: Enter the total number of units or households assisted by the program.
Total Cost: Enter the total budget amount including all funding sources rounded to the nearest thousand.
Program Funding Source: Enter the name of the primary funding program that provided funding for the project/program.

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

Press “Submit” at the bottom of the screen and use “Next” link at the top right to advance to the next screen.

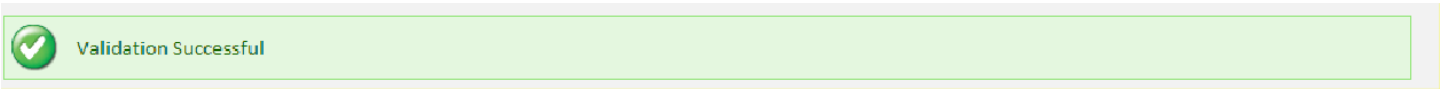
XI. Validating Application Exhibits

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

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

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

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



XII. Applicant Certification

Certifying Application Exhibits

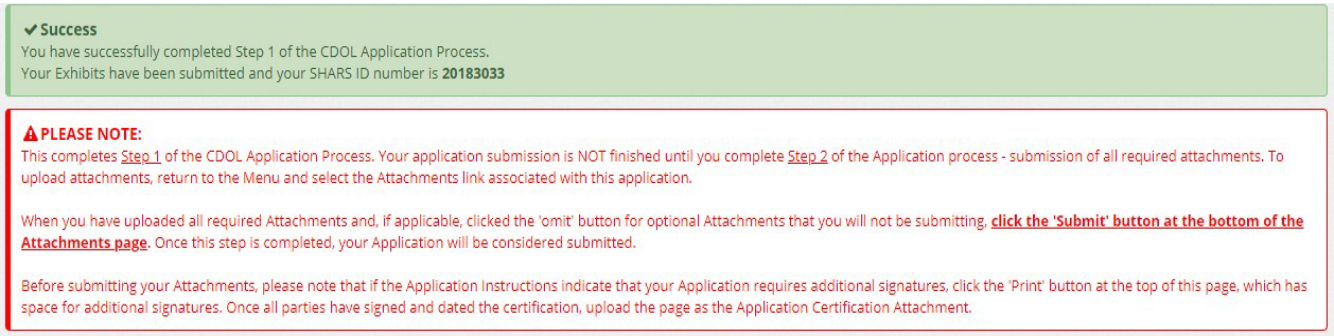
Please Note: Once the application is certified, the application cannot be changed.

After successful validation the 'Certify' link will be made available to users with the authorization to certify the application. If the person completing the application is not the person authorized on the Security Manager Designation Form to electronically certify the application, the person who is authorized must sign into CDOL to complete this step. The only way to get the 'Certify' link is to run a successful validation. If the validation is completed, but the application is not certified, the validation will have to be run again.

Applicants that select the choice 'Do Not Agree' to any of the statements in the certification must attach a detailed explanation as part of Attachment 1. Application Certification Form.

Attachments may be uploaded at any time during the application process, including after certification is complete.

To electronically certify and submit the application exhibits, click the 'Certify' link on the Validation page. At the bottom of the Applicant/Owner Certification enter the password and title and click the 'Submit' button. If the certification and submission was successful, CDOL will display a message acknowledging successful submission of the Exhibits or Step 1 of the CDOL Application Process. An e-mail message will also be sent confirming successful submission of the application exhibits. This will change the application status from "In Progress" to "Certified." **Additional steps are required to complete and submit the application.**



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

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

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

XIII. Application Attachments

Attachments:

Required = "R"

Attachment 1 – Citizen Participation Documentation - R

Attachment 2 – Applicant Certification - R

Attachment 3 – National Objective Compliance - R

Attachment 4 – Vendor Responsibility Questionnaire

Attachment 5 - Affirmatively Furthering Fair Housing and Supporting Documentation - R

Attachment 6 – Program Income Report - R

Attachment 7 – Draft Environmental Review Record - R

Attachment 8 – Sample of Housing Conditions Survey and Cost Estimates (at least 3) - R

Attachment 9 – Funding Commitment Letters

Attachment 10 - Smart Growth Impact Evaluation Form - R

Attachment 11 – Project Team - R

Attachment 12 – Other needs documentation (planning excerpts, preliminary engineering/architectural reports, other agency findings, e.g. consent orders, notices of violations or compliance schedule, demonstrated community or political support, i.e. support letters)

Attachment 13 – Project Schedule - R

Attachment 14 – Sample agreements that will be used with program participants

Attachment 15 – Purchase agreements, property acquisition, easements, evidence of site control

Civil Rights Documentation

Attachment 16 – Civil Right Documentation - R

Attachment 17 – Preliminary Engineering Report (Infrastructure in Support of Housing – only)

Instructions

Mandatory attachments are indicated in CDOL. **For optional items, applicants must select 'omit' if attachments will not be uploaded.** Specific instructions for individual attachments are below:

Attachment 1 – Citizen Participation Documentation

Per federal and state requirements, municipal applicants must hold a public hearing prior to application submission to ensure transparency and encourage participation, particularly from LMI residents. Failure to submit all required documents may render the application ineligible. Required documents include: - Hearing Notice - Affidavit of Publication - Hearing Minutes - Evidence of Public Posting 72 hours prior to the hearing To avoid application disqualification and/or delay, OCR strongly advises using the public hearing template provided in the CDBG Public Participation toolkit here: https://hcr.ny.gov/community-development-block-grant#funding-round-materials.

Attachment 2 – Applicant Certification

The application certification be found here: https://hcr.ny.gov/applicant-certification

Attachment 3 – National Objective Compliance

For information on achieving national objective, please reference Chapter 5 of the NYS CDBG Administration Manual and/or the NYS CDBG Income Survey Methodology toolkit here: https://hcr.ny.gov/cdbg-grant-administration-manual-chapter-5-eligibility-guidelines and here: https://hcr.ny.gov/community-development-block-grant#toolkits

Attachment 4 – Vendor Responsibility Questionnaire

If an Applicant chooses to engage a subrecipient for the administration of a specific activity, the subrecipient must complete the Vendor Responsibility Questionnaire (VRQ).

Provide a PDF of the relevant VRQ based on vendor type (Not-for-Profit or For-Profit) and activity (Construction or Non-Construction). Units of local government do not have to submit this form. The subrecipient should select the questionnaire that most closely reflects its business characteristics.

The Questionnaire must be dated within the calendar year of the application and include the VRQ Contract History Form if the organization has received state funds in the last three years. If a subrecipient is required to file a VRQ through the VendRep system for other state funding sources, a PDF of a the full VendRep submission with a certification dated in the calendar year of this application is acceptable. Screenshots of a confirmed VendRep submission are not adequate.

Further instructions and VRQ forms are available on the Office of the State Comptroller's website: https://www.osc.ny.gov/state-vendors/vendrep/vendor-responsibility-forms

Attachment 5 - Affirmatively Furthering Fair Housing and Supporting Documentation

Fair Housing - All applicants are required to:

1. Attach a resolution passed by a quorum of the governing body **designating a Fair Housing Officer** who is familiar with fair housing laws and requirements. The officer must be trained or will receive training on duties and responsibilities as a fair housing officer, and, through means reasonably calculated to reach the community, publicize the existence of the fair housing officer as the primary point of contact for fair housing issues between the public and the locality.
2. Attach a statement disclosing whether the municipality has been the subject of any fair housing proceeding before a federal, state and/or local adjudicatory body, including the outcome/resolution, or if it receives a final disposition in a proceeding involving fair housing law claims.

For more information, refer to the NYS CDBG Request for Applications (RFA) here: https://hcr.ny.gov/community-development-block-grant#funding-round-materials

Attachment 6 – Program Income Report

The program income report can be found at: https://hcr.ny.gov/cdbg-program-income-report

Attachment 7 – Draft Environmental Review Record

Applicants should begin the environmental review process to identify and eliminate barriers to immediate implementation upon award including any outstanding permits, federal and state consultations, mitigation measures, and legal measures. The Environmental Review Record (ERR) is a record of all consultation or mitigation actions along with required OCR forms. Those forms can be found here: https://hcr.ny.gov/community-development-block-grant#forms-and-documents. This attachment must include the following, at a minimum:

- Designation of Certifying Officer (CO) - 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. The CO must be a municipal official or employee.
- Environmental Quality Review (SEQR) documentation
    - Certification of SEQR Classification (Form)
    - Documentation of local SEQRA determination
    - Lead Agency documentation for Unlisted and Type 1 Actions
    - Environmental Notices Bulletin for Type 1 Actions
    - Certification of NEPA Classification (Form)
    - NEPA Classification Checklist (Form)
    - Statutory Checklist (Form)
    - Environmental Assessment Checklist (Form)
    - Documentation of all state and federal agency consultations. This must include: Requests to agencies for review and the response, all relevant maps must be included, SHPO documentation, THPO documentation, this specifically must be completed by the Certifying Officer
    - Compliance with FFRMS and Wetlands - Affidavit of publication for Early and Final Floodplain and Wetland Notices (if applicable)

Helpful Links:

SEQR - NYS Dept. of Environmental Conservation: https://www.dec.ny.gov/permits/357.html

NEPA - https://www.hudexchange.info/programs/environmental-review

NYS CDBG Environmental Review documents are located on the CDBG website here: https://hcr.ny.gov/community-development-block-grant#forms-and-documents

NYS CDBG Administration Manual Chapter 2: https://hcr.ny.gov/cdbg-grant-administration-manual-chapter-2-environmental-and-historic-review

Attachment 9 – Funding Commitment Letters

Attach all funding commitment letters, approval/rejection letters from funding agencies, evidence of bank financing, and any other supporting documentation demonstrating that non-CDBG funds have been pursued. Statements that describe a self-analysis of other funding sources do not constitute an effort to pursue other funding.

Attachment 10 - Smart Growth Impact Evaluation Form

The form can be found at: https://hcr.ny.gov/smart-growth-project-compliance-form

Attachment 11 – Project Team

The project team form can be found at: https://hcr.ny.gov/8-1-project-team

Attachment 13 – Project Schedule

The Project Schedule form can be found here: https://hcr.ny.gov/community-development-block-grant#funding-round-materials

Attachment 16 – Civil Right Documentation

Items to attach include:

- Section 504 Accessibility self-evaluation
  - If the municipality have fifteen (15) or more employees, attach Grievance Procedure for ADA- related complaints, method and evidence of public notice
- Local Procurement Policy
  - Must address each item listed in 2 CFR 200.318 - .326 including Equal Employment Opportunity and Affirmative MWBE/Section 3 language
  - As the recipient completes individual procurements, evidence thereof must be submitted to the project manager
- EEO Policy
  - If the municipality have over one hundred (100) employees, attach the most recently submitted EEO-4 Survey

See Chapter 7 of the NYS CDBG Grant Administration Manual for further information here: https://hcr.ny.gov/community-development-block-grant#program-guidelines

XIV. Uploading & Certifying Attachments

Uploading Attachments

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

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

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

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

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

Submitting and Certifying Application Attachments

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

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

NYS CDBG Program Application exhibits and attachments must be submitted and certified in the CDOL system no later than 4:00 PM (EST) Wednesday, September 23, 2026. Applications and supplemental materials will not be accepted after the stated deadline.