

NYS 2014 Consolidated Funding Application

Housing Trust Fund Corporation
Office of Community Renewal

NYS Community Development Block Grant Program
Public Infrastructure, Public Facilities



NYS CDBG Program Agenda

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- Funding Limits

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- Project Description
- Project Budget
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- Helpful Hints



Program Summary

Office of Community Renewal Programs

NYS Community Development Block Grant (CDBG) Program (up to \$25 million)

- Economic Development
- Small Business
- Microenterprise
- Public Facilities
- Public Infrastructure/Public Works
- Community Planning

New York Main Street (NYMS) Program (up to \$4.2 million)

- New York Main Street
- New York Main Street Technical Assistance

Overview of the NYS CDBG Program

- Develop viable communities by providing decent housing and a suitable living environment principally for persons of low- and moderate-income.
- NYS must ensure that at least 70% of its CDBG grant funds are used for activities that benefit low- and moderate-income persons (at or below 80% of median) and meet one of the following National Objectives:
 - Benefit low- and moderate-income persons or families; or
 - Aid in the prevention or elimination of slums or blight; or
 - Meet an urgent community development need

Eligible NYS CDBG Applicants

- Eligible applicants include non-entitlement cities, towns, and villages with populations under 50,000 and counties with an area population under 200,000. This link provides a listing of eligible communities: <http://www.nyshcr.org/Programs/NYS-CDBG/EligibleCommunities.htm>.
 - Not-for-profits, housing authorities, local development corporations and other similar entities may undertake activities on behalf of eligible applicants as subrecipients, but are not eligible to apply directly for NYS CDBG funds.

NYS CDBG Public Infrastructure/Public Facilities

Public Infrastructure

- Public Water/Sewer/Stormwater
- Flood Mitigation
- Sidewalks/Streets
- Other Public Works

Public Facilities

- Day Care Facilities
- Community/Senior Centers
- Health Centers
- ADA Compliance
- Other



Public Infrastructure and Public Facilities

Eligible Activities

Public Infrastructure

- ***Water Systems***
 - Construction or improvements to municipal drinking water system
 - Installation or replacement water transmission and distribution lines
 - Installation or replacement fire hydrants or valves
 - Construction of new or replacement of existing water tanks
- ***Sewer Systems***
 - Construction or improvements to waste water treatment system
 - Installation or replacement sewer transmission and collection lines
 - Installation or replacement of grinder pumps
- ***Stormwater sewer Systems/Flood Control***
 - Construction or improvements to stormwater drainage systems or flood control projects
- ***Streets/Sidewalks***
 - Construction/reconstruction/replacement of roads, streets and sidewalks, typically as a result of related infrastructure improvements.

**All public works project should be considered to be subject to
Davis-Bacon wage requirements.**

Public Infrastructure and Public Facilities

Eligible Activities

Public Facilities

- **Senior Centers**
 - Construction of new or improvements to existing senior centers
- **Community Centers**
 - Construction of new or improvements to existing community centers
- **Healthcare Centers**
 - Construction or improvements to healthcare facilities in underserved areas
- **Group Homes**
 - Construction or improvements to a residential group home facility

Any public facility funded with NYS CDBG funds must be maintained in the same capacity as funded for a period of five (5) years after the project is formally closed out by the OCR.



The OCR reserves the right to monitor the use of such facilities during the five (5) year period to substantiate compliance.

All public works project should be considered to be subject to Davis-Bacon wage requirements.

Application Tips

Common Deficiencies in Unsuccessful Applications

Ineligible Activities:

- Projects that do not meet a National Objective;
- Any item that is considered to be maintenance
 - Painting of water tanks
 - Dredging of water reservoirs
 - Activities caused by deferred maintenance
- Buildings or portions thereof for the general conduct of government;
- General government expenses;
- Political activities; and
- Projects already in progress at time of application.

Take Note:

- All project activities **may not** commence prior to award date, submission of environmental review record and approval of release of funds has been issued by the OCR.

Program Summary

Public Infrastructure/Public Facilities

Funding Limits

Public Infrastructure

- Towns, Cities or Villages: \$600,000
- Counties: \$750,000

Public Facilities

- Towns, Cities or Villages: \$400,000
- Counties: \$750,000

Shared Municipal Infrastructure

- Infrastructure: \$900,000

Program Year Funding Maximum Limits Listed Above

A maximum of 5% of the CDBG request can be used for administration, with no more than 18% of the total CDBG request for Administration, Program Delivery, Engineering.

Application Tips

Common Deficiencies in Unsuccessful Applications

Funding Limits:

- The application requests more than the funding limit allows.
- The application requests funding for the same project through multiple CDBG applications e.g. Economic Development and Public Infrastructure.
- The application pushes the applicant above the maximum funding limit per program year.
- The application requests inconsistent amounts within the application.

Critical Application Components

Citizen Participation Requirements

- All applicants must issue a public notice and hold a public hearing before submitting an application.
- 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 the current program year;
- Public hearings must be held by the eligible applicant, not by a subrecipient or other related organization;
- 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 public hearing must be conducted prior to finalizing and submitting an application;
- The public notice must be included as an attachment to this CFA; and
- A copy of the application must be available for public inspection at the municipal office(s).

Application Tips

Common Deficiencies in Unsuccessful Applications

Citizen Participation issues:

- Failure to hold a public hearing prior to submitting the application.
- The hearing was not held by the eligible applicant.
- The public notice does not specifically mention the NYS CDBG program.

National Objective Compliance

LMA: Low/Mod area benefit:



Public Infrastructure/Facility projects

- **Two methods used to demonstrate compliance**
 - Census Data
 - Survey Data

National Objective Compliance

LMC: Low/Mod Limited Clientele benefit

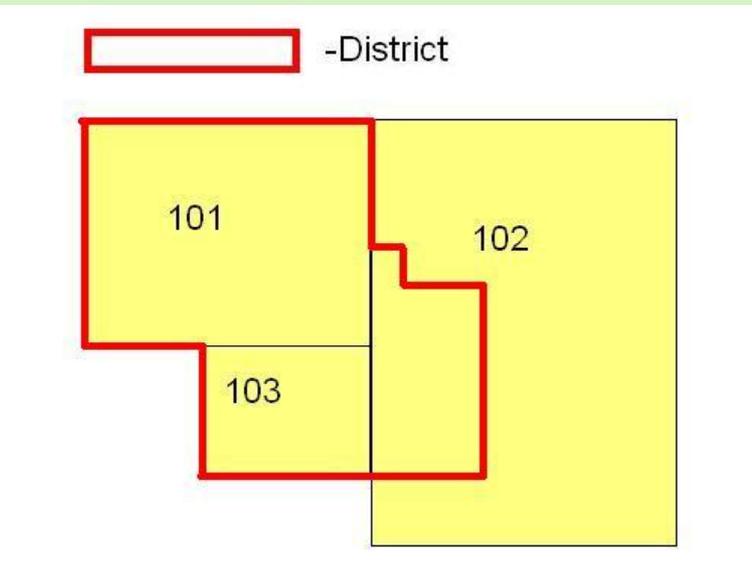
- **Presumed benefit**
 - Seniors, severely disabled, abused children

- **Other service populations**
 - Requires information on family size and income so that it is evident that at least 51% of the clientele are LMI (example: health center serving predominantly LMI clientele)

National Objective Compliance

■ Census Data

- **Must** match proposed benefit area



■ Survey Data

- Survey results must be summarized
- Survey instrument should be adequate to demonstrate eligibility
- Must include total population of the service area not just respondents
- Map Vacant, Seasonal and Institutional units
 - Seasonal housing must be presumed to be non-LMI
 - If required response rate is not met:
 - All non respondents and all vacant housing must be presumed to be non-LMI

Application Tips

Common Deficiencies in Unsuccessful Applications

Failure to adequately demonstrate National Objective Compliance

- Census Data vs. Survey Data
- Excluding a benefitting population from total count
- Excluding description of National Objective Compliance

Additional CDBG Resources

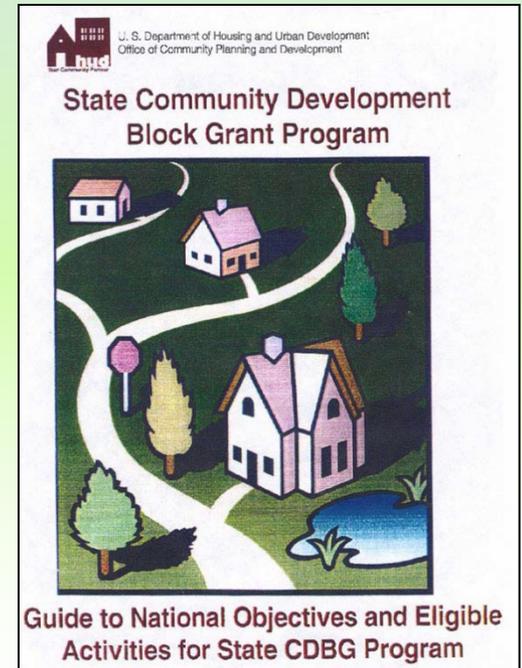
For further information:

- Guide to National Objectives and Eligible Activities for State CDBG Programs

<http://www.hud.gov/offices/cpd/communitydevelopment/library/stateguide/>

- “Basically CDBG” Course Training Manual

http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/communitydevelopment/training/basicallycdbg



Public Infrastructure & Public Facilities Program Guidelines

Description of:

- Existing conditions
- Need for services
- Area/Persons benefiting
- How Equivalent Dwelling Units (EDU) were calculated
- Operations and maintenance costs per EDU

Supporting Documentation:

- Engineer/Architect reports
- Consent orders, other violations, or regulatory letters
- Funding for services



Public Infrastructure, Facilities & Planning Project Description

- Must be specific to the project and activities being proposed
- Should clearly demonstrate that the project will address the identified needs
- Detailed to provide a complete picture of the project
- Provide supporting documentation
- Needs Assessment and Engineering must demonstrate that it will result in future activities that will benefit LMI

Application Tips

Common Deficiencies in Unsuccessful Applications

Demonstration of Need

- Data is presented without context.
- Need for CDBG funds is not detailed.
 - Evidence that other funds have been pursued and are not available or are unaffordable to the users.
- Need for the specific activities was not explained.
- Insufficient or inadequate explanation of how the proposed project aligns with community goals and the Community Strategic Plan.

Public Infrastructure & Public Facilities Budget

- **Provide budget for entire project**
- **Include all funding sources (committed & projected)**
- **Supporting documentation:**
 - Engineer/architect estimates
 - Ensure prevailing wages were used when preparing estimates
 - If force account labor, evidence of commitment of resources
 - Cost benefit analysis

Application Tips

Common Deficiencies in Unsuccessful Applications

Funding commitments provided are insufficient.

- Provide commitment letters for all sources of leveraged funds contributing to the project.
- Formal documentation can include grant award letters from local or state agencies, commitment letters with accompanying bank statements, board minutes approving administrative funding for the program.

Application Tips

Common Deficiencies in Unsuccessful Applications

Budget narratives do not match budget tables, and budget presented is not feasible.

- Present a feasible, well planned budget.
- Explain why CDBG Public Infrastructure/Facilities funds are necessary.
- Substantiate the requested amount.
- For each source identified, indicate whether the source is formally committed or pending approval.

Application Process

Scoring Criteria

Provide documentation of all financial commitments:

- Other grant sources
- Commitments for private financing
- Administrative funding for staff time



Leveraging of other funds is not required for public infrastructure and facility projects, but having committed leveraged funds may enhance an applicants ability to receive funding.

Application Tips

Common Deficiencies in Unsuccessful Applications

Program readiness is not evident, including community interest, eligible projects and funding commitments.

- Identify specific program guidelines with eligible work scopes and feasible timelines.
- Identify funding commitments.
- Present a thorough understanding of CDBG Public Infrastructure and Facilities program requirements.

Application Tips

Common Deficiencies in Unsuccessful Applications

Common Errors:

- Examples include:
 - Applying for an economic development project through public infrastructure/public facilities application; or
 - Applying for a housing rehabilitation activity through public infrastructure
 - Answering threshold questions incorrectly.

Public Infrastructure/Public Facilities

Supporting Documentation

Examples of Supporting Documentation:

- National Objective Compliance documentation that at least 51% of the persons benefitting from the proposed improvements are low-and moderate income.
- Evidence that other sources have been pursued and those sources are unavailable or unaffordable to the users.
- Third party documentation of need such as consent order, notice of violation as evidence of existing conditions.
- Third party cost estimates, including documentation of the cost of real property, acquisition, construction/rehabilitation, and/or equipment costs.

Application Tips

Common Deficiencies in Unsuccessful Applications

Supporting documentation issues:

- Failure to provide complete copies of all required supporting documentation.
- Forms not signed or not signed by the authorized signatory.
- Issues with the public hearing notice.

Administrative Capacity

Ability to administer Public Infrastructure/Facility/Planning Grant:

- Demonstrate your understanding of program rules.
- Identify experienced staff who will be responsible for administration.



Application Tips

Common Deficiencies in Unsuccessful Applications

Administrative Capacity

- Administrative capacity is not described, including staff roles and administrative procedures.
- Poor past performance administering NYS CDBG projects.
- Little or no demonstrated understanding of program rules and regulations.
- Project readiness is not evident.

Application Process

Application Process

Consolidated Funding Application (CFA)

<http://regionalcouncils.ny.gov/>

Online application



Consolidated Funding Application (CFA)

New York State State Agencies Search all of NY.gov



CONSOLIDATED FUNDING APPLICATION



Home Help Print Page CFA Project Info Regional Economic Development Councils

<https://apps.cio.ny.gov/apps/cfa/>

WELCOME

As part of Governor Cuomo's transformative plan to improve the state's economic development model, a NYS Consolidated Funding Application (CFA) has been created that will streamline and expedite the grant application process. The CFA process marks a fundamental shift in the way state resources are allocated, ensuring less bureaucracy and greater efficiency to fulfill local economic development needs.

Utilizing the CFA serving as the single entry point for access to economic development funding, applicants will no longer have to slowly navigate multiple agencies and sources without any mechanism for coordination. Now, economic development projects will use the CFA as a support mechanism to access multiple state funding sources through one application, making the process quicker, easier, and more productive.

To proceed with your CFA, please use the **Log In** or **Register** buttons.

[Log In](#)

[Register](#)

Links

[Available CFA Resources](#)

[Regional Council Guidebook](#)

[Program Application Questions](#)

Tip:

Applicants are encouraged to download all application questions to review and compose in Word before working in CFA.



Consolidated Funding Application (CFA) Sections

Threshold Questions

A series of Yes/No questions. Responses determine program eligibility. Applicant may not proceed to program specific questions if threshold criteria are not met.

Documents / Attachments

Documents that you must upload to submit a complete application. These support the responses you have given to questions in the application.

Basic Questions

Common to all applicants who are accessing the CFA. One set of Basic Questions per application.

Standard Questions

Specific to the funding program that you are applying for, i.e. NYS CDBG. If you apply for multiple programs with a single application, Standard Questions for each program will appear.

Budget Table(s)

Threshold Questions

A series of Yes/No questions. Responses determine program eligibility. Applicant may not proceed to program specific questions if threshold criteria are not met.

- Applicant Eligibility
- Request Amount
- Target Area Eligibility
- Municipal Resolution
- Eligible Activities

**Please review the Resource Guide
and Program Guide for details related to each.**

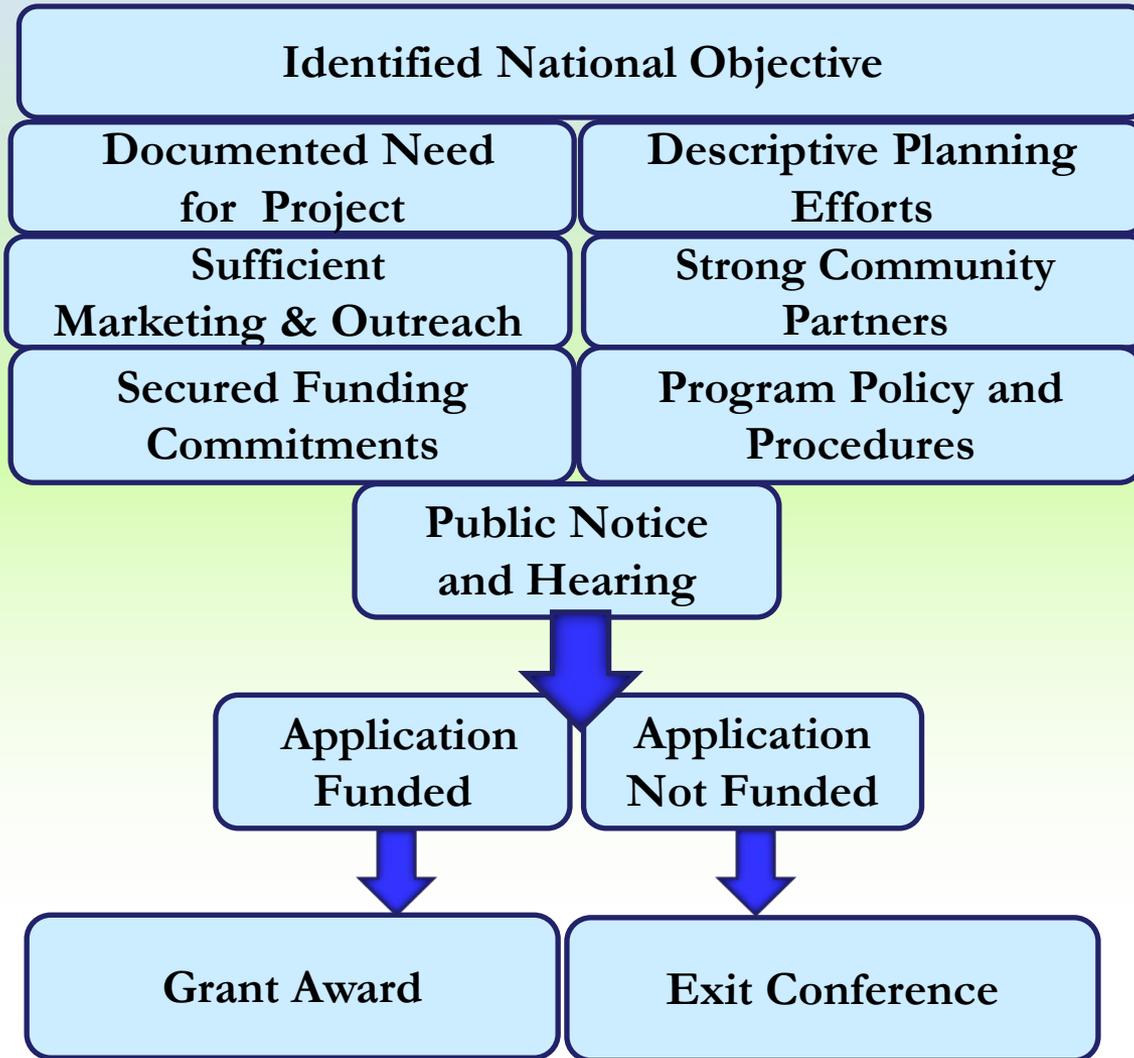
Application Tips

Common Deficiencies in Unsuccessful or Ineligible Applications

Common Errors During Application Process:

- Examples include:
 - Applying for an economic development project through a public infrastructure/public facilities application or vice versa;
 - Answering threshold questions incorrectly.
 - Not answering standard questions in sufficient detail—please be sure to review the “Show Help” link.

Are YOU Prepared to Apply for a CDBG Grant?

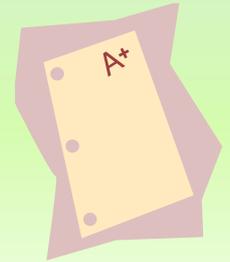


Summary

Scoring Criteria/Application Evaluation Overview

All funding determinations are based on the following factors:

- Quality of application
- Appropriateness of activity
- CDBG and administrative performance history, if any
- Severity of need
- Extent to which activity resolves identified need
- Capacity to complete activities in a timely & effective manner
- Public benefit
- Project feasibility & schedule
- Leverage and availability of other resources
- Reasonableness of project costs, including program delivery & administration
- Extent to which activity complements other federal, state, & local programs
- Public support



Application Process

Scoring Criteria

Smart Growth Public Infrastructure Act

- Requires the Housing Trust Fund Corporation to ensure, to the greatest extent practicable, that public infrastructure projects meet relevant Smart Growth criteria prior to approving, undertaking and/or financing such projects.
- 10 Criteria are identified
- Criteria are listed in Application Kit



Helpful Hints

- Read the application guidance
- Use the submission checklist
- Provide detailed maps
- Document Citizen participation
- Provide only related information
- Carefully proofread
- Follow the application outline
- Answer all questions
- Complete forms in their entirety
- Select correct application type

When in doubt, CALL!

518-474-2057

Additional Program Requirements-Certification

- Identify and remediate environmental hazards (Lead!)
- Minority and Women-Owned Businesses (MWBE)
<http://www.nylovesmwbe.ny.gov/>
- Title VI of the Civil Rights Act of 1964. As amended (42 U.S.C. 2000d et seq.)
- The Fair Housing Act (42 U.S.C. 3601-3620)
- Equal Opportunity in Housing (Executive Order 11063, as amended by Executive Order 12259)
- Age Discrimination Act of 1975, As Amended (42 U.S.C. 6101)
- Affirmative Marketing
- Americans With Disabilities Act (42 U.S.C. 12131; 47 U.S.C. 155, 201, 218, 225)
- Section 3 of the Housing and Urban Development Act of 1968
- Davis Bacon Related Acts

Questions?

If you have any further questions,
please contact NYS OCR at

518-474-2057

or via e-mail at

ocrinfo@nyshcr.org