

HCR - Urban Initiatives (UI)

1. **Question Ref:** Q_1616
Question Type: Threshold

Is the applicant a not-for-profit corporation or charitable organization, organized for a period of one or more years, which is either incorporated under the not-for-profit corporation law (together with any other applicable law) or, if unincorporated, is not organized for the private profit or benefit of its members and has been engaged primarily in community preservation activities?

HELP SECTION

Article 16A of the New York State Private Housing Finance Law defines an eligible Urban Initiative applicant as: not-for-profit corporations or charitable organizations, which are either incorporated under the not-for-profit corporation law (together with any other applicable law) or, if unincorporated, are not organized for the private profit or benefit of its members. The applicant must have been engaged primarily in relevant community preservation activities for at least one year prior to application. The applicant's officers, directors and members must be representative of the residents and other legitimate interests of the neighborhood.

2. **Question Ref:** Q_1617
Question Type: Threshold

Is the Urban Initiatives project request amount between \$50,000 and \$200,000?

HELP SECTION

Urban Initiatives project applicants may request between \$50,000 and \$200,000.

3. **Question Ref:** Q_1618
Question Type: Threshold

Will the requested Urban Initiatives funds be distributed on a reimbursement basis for eligible Urban Initiatives activities?

HELP SECTION

The Urban Initiatives (UI) program operates as a reimbursement program. A project must be completed, and paid for prior to requesting reimbursement with UI funds.

Urban Initiatives funds may be used to undertake housing preservation and community renewal activities in distressed neighborhoods by preserving existing housing units, generating new housing units, upgrading commercial and retail areas and by creating innovative approaches to neighborhood and community revitalization which improve cultural and community facilities.

UI funds may be used for project expenses incurred subsequent to contract execution including: renovation, rehabilitation, demolition, clearance and sealing of any building or other structure, provided that such funds may not be used for planning of any such activity or for operating an office to be used by the qualified applicant and, provided further that no funds shall be used for acquisition unless such acquisition is in conjunction with the renovation, rehabilitation, demolition, clearance, or sealing of any building or of the structure. Applicants must specifically demonstrate how the project contributes to local planning and development efforts.

- Projects that commence prior to award are not eligible for reimbursement.
- Projects that cannot be completed within a 24-month contract term will not be reimbursed.
- Eligible expenses must be documented and provided to HCR prior to reimbursement.
- Soft costs will not be reimbursed for incomplete projects.

4. **Question Ref:** Q_1668
Question Type: Threshold

Is the proposed project within an area deemed eligible pursuant to Article 16 and 16A of the New York State Private Housing Finance Law?

HELP SECTION

Eligible areas for Urban Initiatives projects are neighborhoods within units of local government in New York State. Eligible units of local government include cities, towns or villages with a population of 20,000 or more.

An eligible neighborhood for UI projects shall mean an area: (a) that has experienced sustained physical deterioration, decay, neglect, or disinvestment; (b) has a number of substandard buildings or vacant residential or commercial units; *and* (c) in which more than fifty percent of the residents are persons whose incomes do not exceed eighty

percent of the area median income for the county or metropolitan statistical area (MSA) in which the project is located, or which is designated by a state or federal agency to be eligible for a community or economic development program.

Projects directly assisting persons and families whose incomes do not exceed eighty percent of the area median income for the county or MSA in which a project is located are not required to demonstrate area income eligibility as identified in criterion (c) above.

5. **Question Ref:** Q_1619
Question Type: Threshold

Has the municipality in which the project is located approved a resolution to submit an Urban Initiatives application or will the municipality prior to the submission of this application?

HELP SECTION

Each municipality in which the proposed project will occur must approve a formal resolution supporting an application for the Urban Initiatives project.

- The resolution must be on official stationery and should hold the official seal.
- The applicant's name must be stated as it is recorded in the incorporation documents.
- Applicants within New York City must obtain the resolution from the Community Board with jurisdiction over the project target area. The resolution must be attached to the application where requested.

6. **Question Ref:** Q_1620
Question Type: Threshold

Will the proposed project be completed within 24 months from the award date?

HELP SECTION

Pursuant to Article 16A of the New York State Private Housing Finance Law, the contract shall provide for completion of the project within a reasonable period, which shall not exceed two years from its commencement.

7. **Question Ref:** Q_1610
Question Type: Attachment

Municipal Resolution

HELP SECTION

Attach the Municipal Resolution authorizing the 2012 Urban Initiatives (UI) application.

- The resolution must be on official stationery and should hold the official seal.
- The applicant organization's name must be stated as it is recorded in the incorporation documents.
- Applicants within New York City must obtain the resolution from the Community Board with jurisdiction over the project area.

8. **Question Ref:** Q_1611
Question Type: Attachment

Project Map

HELP SECTION

Provide a map that clearly shows the proposed project site or service area, in relation to the municipal boundaries. Label relevant adjacent buildings or project sites.

9. **Question Ref:** Q_1612
Question Type: Attachment

Building Information List

HELP SECTION

Provide a list that includes every property within the proposed project site or service area. Provide accurate property addresses and the NYS Office of Real Property Services tax parcel identification numbers (section, block, lot) for each building. Attach a single PDF.

10. **Question Ref:** Q_1613
Question Type: Attachment

Project Photographs

HELP SECTION

Provide digital photographs of the proposed project site(s). Attach as a single PDF.

11. **Question Ref:** Q_1615
Question Type: Attachment

Construction Specifications and Project Cost Estimate

HELP SECTION

The applicant must submit written preliminary specifications describing all work to be performed and a project cost estimate including all major trade items prepared by a construction cost estimator or builder. Attach as a single PDF.

12. **Question Ref:** Q_1177
Question Type: Attachment

Financial Commitment Documentation

HELP SECTION

Provide commitment letters for any sources of matching or leveraged funds contributing to the project. Applicants documenting high percentages of committed matching and leveraged funds will receive the highest scores. Sources will not be considered committed without formal documentation.

Consolidate all relevant financial commitment documentation into a single PDF and attach.

13. **Question Ref:** Q_1445
Question Type: Attachment

Support Letters

HELP SECTION

Consolidate all relevant project or program support letters into a single PDF and attach.

14. **Question Ref:** Q_1621

Question Type: Standard Question

Provide the full name and title of the contact authorized to execute a contract with New York State Housing Trust Fund Corporation (HTFC).

15. **Question Ref:** Q_1450

Question Type: Standard Question

Will the proposed project result in the creation of construction jobs? If so, estimate the number of construction jobs to be created.

Enter zero if not applicable.

16. **Question Ref:** Q_1459

Question Type: Standard Question

Will the proposed project directly or indirectly result in the creation of permanent jobs? If so, estimate the number of permanent full-time equivalent jobs that will be created.

Enter zero if not applicable.

17. **Question Ref:** Q_1421

Question Type: Standard Question

In addition to the brief project description provided above, please break down the eligible project components and work proposed for each grant for which you are requesting funding. If the grant proposal is part of a larger project, describe the complete project and identify the portion proposed for current grant funding.

HELP SECTION

18. **Question Ref:** Q_1669

Question Type: Standard Question

Provide a concise description of the proposed project site or service area. Provide the name of the municipality with any commonly-used names for the neighborhood and clearly describe the boundaries using cross streets or specific address ranges. Description must be consistent with required Project Map attachment.

19. **Question Ref:** Q_1670

Question Type: Standard Question

Explain how the proposed project and service area are eligible for Urban Initiatives (UI) funding.

HELP SECTION

Eligible areas for Urban Initiatives projects are neighborhoods within units of local government in New York State. Eligible units of local government include cities, towns or villages with a population of 20,000 or more.

An eligible neighborhood for UI projects shall mean an area: (a) that has experienced sustained physical deterioration, decay, neglect, or disinvestment; (b) has a number of substandard buildings or vacant residential or commercial units; *and* (c) in which more than fifty percent of the residents are persons whose incomes do not exceed eighty percent of the area median income for the county or metropolitan statistical area (MSA) in which the project is located, or which is designated by a state or federal agency to be eligible for a community or economic development program.

Projects directly assisting persons and families whose incomes do not exceed eighty percent of the area median income for the county or MSA in which a project is located are not required to demonstrate area income eligibility as identified in criterion (c) above.

20. **Question Ref:** Q_1622

Question Type: Standard Question

Provide the total number of buildings in the proposed Urban Initiatives service area. Include every building, not just those proposed for assistance.

21. **Question Ref:** Q_1623
Question Type: Standard Question

Provide the total number of commercial units in the proposed Urban Initiatives service area. Include every commercial unit, not just those proposed for assistance.

22. **Question Ref:** Q_1624
Question Type: Standard Question

Provide the total number of residential units in the proposed Urban Initiatives service area. Include every residential unit, not just those proposed for assistance.

23. **Question Ref:** Q_1625
Question Type: Standard Question

Indicate how many buildings will be directly assisted by Urban Initiatives (UI) program funds.

HELP SECTION

Enter the total number of buildings expected to be assisted by UI funds. Please note, if this application is funded this proposed number will become part of the UI contract.

24. **Question Ref:** Q_1627
Question Type: Standard Question

Indicate how many commercial units will be renovated or directly assisted using Urban Initiatives (UI) program funds.

HELP SECTION

Enter the total number of commercial units expected to be assisted by UI funds. Please note, if this application is funded this proposed number will become part of the UI contract.

25. **Question Ref:** Q_1626
Question Type: Standard Question

Indicate how many residential units will be renovated or directly assisted using Urban Initiatives (UI) program funds.

HELP SECTION

Enter the total number of residential units expected to be assisted by UI funds. Please note, if this application is funded this proposed number will become part of the UI contract.

26. **Question Ref:** Q_1628
Question Type: Standard Question

Indicate how many civic or community units will be renovated or directly assisted using Urban Initiatives (UI) program funds.

HELP SECTION

Enter the total number of civic or community units expected to be assisted by UI funds. Please note, if this application is funded this proposed number will become part of the UI contract.

27. **Question Ref:** Q_1629
Question Type: Standard Question

Enter the amount of Urban Initiatives funds requested for Administrative Expenses. Enter zero if not applicable.

HELP SECTION

Administrative funds must be identified at the time of application and shall not exceed 7.5% of the Urban Initiatives program request.

28. **Question Ref:** Q_1775
Question Type: Standard Question

Explain the project budget.

- Identify the total project cost;
- Identify each source of funds and proposed use(s);
- For each source identified, indicate whether the source is formally committed or pending approval.

Please be specific, and list each source in a consistent format.

If a source is identified as committed, the applicable commitment letter must be attached where requested in the application.

29. **Question Ref:** Q_1631

Question Type: Standard Question

Describe the procedures in place to ensure timely implementation and project completion.

HELP SECTION

Elements to consider:

- Additional sources of administrative funding for administration of the grant;
- Use of budgeted administrative funds, including estimates related to staff time committed in support of the project;
- Staff assigned to work on the proposed project and their specific roles. Describe specific staff experience or training relevant to the implementation of the proposed project;
- Status of financing, project planning and required approvals.

30. **Question Ref:** Q_1634

Question Type: Standard Question

Indicate whether relocation of residential and/or non-residential tenants will be required. If so, supply the number of tenants of each type who must be relocated and the plan established for temporary relocation.

HELP SECTION

Occupant selection procedures shall be established which provide that any lawful occupants who live in a project prior to rehabilitation shall not be displaced as a result of such rehabilitation, other than temporarily, in which case suitable relocation arrangements shall be provided. In addition, any occupants who move into a project must be persons and families whose incomes do not exceed eighty percent of the area median income for the county or metropolitan statistical area (MSA) in which a project is located as specified by Article 16A of the New York State Private Housing Finance Law.

31. **Question Ref:** Q_1630

Question Type: Standard Question

Document the residential and commercial need for the proposed project in specific, measurable terms and discuss the anticipated residential and commercial impact of the proposed project on the neighborhood and larger community.

HELP SECTION

Please address the following:

- Business conditions in the area, including vacancy rates for existing commercial space;
- Regional unemployment and socio-economic indicators that affect the project area, or other external factors such as regional economic trends or institutional investments that will impact the area during the next five years;
- Existing housing conditions, vacancy rates and housing affordability;
- Leveraging of other resources;
- Explain how the proposed program will enhance the existing assets of the target area, including historic buildings and small or unique businesses in the target area;
- Describe the impact that the investment of these funds will have on alleviating substandard housing conditions in the target area;
- Describe the impact that the investment of these funds will have on increasing accessible, affordable housing opportunities in the target area;
- Describe the overall anticipated accomplishments and how the project contributes to local planning and development efforts.

Applicants should reference pertinent sections of adopted local plans to support the proposed project.

32. **Question Ref:** Q_1633

Question Type: Standard Question

Outline the plan for incorporating historic preservation and sensitive design review into the project development process.

HELP SECTION

- Indicate the number of historic buildings to be assisted with the requested funds. Of those buildings, indicate how many are on the National Historic Register. A historic building is defined as one that is valued for its historic associations or architectural quality and is worth protecting because it is a virtue to the special and unique personality of the community.
- Describe the local Design Review Process, and actions planned for preserving the historic nature of buildings to be assisted.

- Projects to be assisted with the requested funds must be reviewed by the State Historic Preservation Office prior to undertaking a renovation project. Please confirm that this required review will be included in the project development timeline, and indicate if this review is already underway by providing the Office of Parks, Recreation and Historic Preservation (OPRHP) reference number.

33. **Question Ref:** Q_1632

Question Type: Standard Question

Describe the local support for the proposed project.

HELP SECTION

- Identify other planned or existing community development and revitalization efforts this project will be linked to.
- Identify all project partners and related stakeholders. Provide specific details related to their involvement in the proposed project.
- If any of the support described is formally documented by letters or agreements, provide in the support letter attachment.

34. **Question Ref:** Q_1170

Question Type: Standard Question

Provide examples of grant administration experience within the past three years.

HELP SECTION

Grant administration experience is important for evaluating an applicant's capacity to administer the proposed grant program.

Examples should be relevant to the building renovation program proposed.

Each example must specify funding source and agency, amount of funding, use of funds, total project cost, contract number or ID and completion date.

Clearly indicate whether the example provided was administered by the applicant, a consultant, or other involved party.

List each example in a consistent format.

35. Optional Question Header:

Smart Growth Questions:The NYS Smart Growth Public Infrastructure Policy Act requires that a project meet the relevant smart growth criterion to the extent practicable. Please respond to the questions below regarding smart growth criteria.

Question Ref: Q_1059

Question Type: Smart Growth

Does the proposed project use, maintain, or improve existing infrastructure?
Y/N/Not Relevant. Please explain all responses.

HELP SECTION

If you are maintaining or improving existing infrastructure, please answer “YES”. If you are building new infrastructure, or expanding infrastructure answer “NO” and provide justification that explains the need to build new infrastructure instead of using or improving existing infrastructure.

For specific guidance on rail/port, aviation, and other transportation projects please refer to <https://www.nysdot.gov/programs/RegionalEconomicDevelopmentCouncils>

36. Question Ref: Q_1060

Question Type: Smart Growth

Is the proposed project located in a municipal center? Y/N/Not Relevant.
Please explain all responses.

HELP SECTION

Municipal Centers are areas of concentrated and mixed land use that serve as centers of various activities (civic, commercial, recreational, and residential, among others). Specific examples include Central Business Districts; Brownfield Opportunity Areas (BOAs); Downtowns in Local Waterfront Revitalization Program (LWRP) Areas; Transit-Oriented Development, Environmental Justice Areas and Hardship Areas; in many instances, an entire city, village or hamlet can be considered a municipal center. This definition can include development “adjacent to municipal centers” and a “future municipal center” – an area planned and zoned to be a municipal center.

For specific guidance on rail/port, aviation, and other transportation projects please refer to <https://www.nysdot.gov/programs/RegionalEconomicDevelopmentCouncils>

37. **Question Ref:** Q_1061

Question Type: Smart Growth

Is the proposed project located in a developed area or an area designated for concentrated infill development in a municipally approved comprehensive land use plan, local waterfront revitalization plan and/or brownfield opportunity area plan? Y/N/Not Relevant. Please explain all responses.

HELP SECTION

Please explain how your project advances infill development or redevelopment in existing developed areas consistent with an approved plan. Infill development includes redevelopment, rehabilitation and new development between existing buildings on vacant or under-utilized sites.

For specific guidance on rail/port, aviation, and other transportation projects please refer to <https://www.nysdot.gov/programs/RegionalEconomicDevelopmentCouncils>

38. **Question Ref:** Q_1062

Question Type: Smart Growth

Will the proposed project protect, preserve and enhance the State's resources, including agricultural land, forests, surface and groundwater, air quality, recreation and open space, scenic areas, and significant historic and archeological resources? Y/N/Not Relevant. Please explain all responses.

HELP SECTION

Beyond simply avoiding or minimizing negative environmental impacts, please indicate the resources that may be impacted by your project and how your project will preserve and enhance these resources.

For specific guidance on rail/port, aviation, and other transportation projects please refer to <https://www.nysdot.gov/programs/RegionalEconomicDevelopmentCouncils>

39. **Question Ref:** Q_1063

Question Type: Smart Growth

Will the proposed project foster mixed land uses and compact development, downtown revitalization, Brownfield redevelopment, the enhancement of

beauty in public spaces, the diversity and affordability of housing in proximity to places of employment, recreation and commercial development and the integration of all income and age groups? Y/N/Not Relevant. Please explain all responses.

HELP SECTION

Please explain how your project advances these objectives and improves the quality of life in your community.

For specific guidance on rail/port, aviation, and other transportation projects please refer to <https://www.nysdot.gov/programs/RegionalEconomicDevelopmentCouncils>

40. **Question Ref:** Q_1064
Question Type: Smart Growth

Will the proposed project provide mobility through transportation choices including improved public transportation and reduced automobile dependency? Y/N/Not Relevant. Please explain all responses.

HELP SECTION

There are many alternatives to automobile transportation. Please explain how your project provides or complements alternatives to automobile travel such as bikes, pedestrians, public transit, air travel or rail travel.

For specific guidance on rail/port, aviation, and other transportation projects please refer to <https://www.nysdot.gov/programs/RegionalEconomicDevelopmentCouncils>

41. **Question Ref:** Q_1065
Question Type: Smart Growth

Will the proposed project involve coordination between state and local government and inter-municipal and regional planning? Y/N/Not Relevant. Please explain all responses.

HELP SECTION

Identify any interaction between the applicant and any municipal and county governments, planning boards, regional planning associations or similar organizations. Document any outreach by the applicant to these organizations regarding the project and any relevant correspondence.

For specific guidance on rail/port, aviation, and other transportation projects please refer to <https://www.nysdot.gov/programs/RegionalEconomicDevelopmentCouncils>

42. **Question Ref:** Q_1066
Question Type: Smart Growth

Will the proposed project involve participation in community based planning and collaboration? Y/N/Not Relevant. Please explain all responses.

HELP SECTION

Please explain how the project results from an inclusive, multi-stakeholder (including traditionally underserved populations) process of community-based planning and collaboration. To assist with your explanation, identify any affected community groups or organizations with an interest in the proposed project and if the planning process involved outreach to citizens and stakeholders at all stages of development of the project.

For specific guidance on rail/port, aviation, and other transportation projects please refer to <https://www.nysdot.gov/programs/RegionalEconomicDevelopmentCouncils>

43. **Question Ref:** Q_1067
Question Type: Smart Growth

Will the proposed project ensure predictability in building and land use codes? Y/N/Not Relevant. Please explain all responses.

HELP SECTION

Provide any additional relevant information.

For specific guidance on rail/port, aviation, and other transportation projects please refer to <https://www.nysdot.gov/programs/RegionalEconomicDevelopmentCouncils>

44. **Question Ref:** Q_1068
Question Type: Smart Growth

Will the proposed project promote sustainability by strengthening existing and creating new communities which reduce greenhouse gas emissions and do not compromise the needs of future generations, by among other means encouraging broad based public involvement in developing and implementing

a community plan and ensuring the governance structure is adequate to sustain its implementation? Y/N/Not Relevant. Please explain all responses.

HELP SECTION

Please explain how your project promotes sustainability. For example does your project include buildings and plans that seek to minimize consumption of fossil fuels (coal, petroleum), reduce water usage / consumption, and encourage the use of renewable energy (wind, solar, and geo-thermal).

For specific guidance on rail/port, aviation, and other transportation projects please refer to <https://www.nysdot.gov/programs/RegionalEconomicDevelopmentCouncils>

45. **Question Ref:** Q_1038

Question Type: Certification

By entering your name in the box below, you certify that you are authorized on behalf of the applicant and its governing body to submit this application. You further certify that all of the information contained in this Application and in all statements, data and supporting documents which have been made or furnished for the purpose of receiving Assistance for the project described in this application, are true, correct and complete to the best of your knowledge and belief. You acknowledge that offering a written instrument knowing that the written instrument contains a false statement or false information, with the intent to defraud the State or any political subdivision, public authority or public benefit corporation of the State, with the knowledge or belief that it will be filed with or recorded by the State or any political subdivision, public authority or public benefit corporation of the State, constitutes a crime under New York State Law.

46. **Optional Question Header:**

Funding Sources (Enter dollar amounts below)

Question Ref: Q_657

Question Type: Budget

Total Project Cost

47. **Question Ref:** Q_660

Question Type: Budget

State sources committed to project

HELP SECTION

For each source, list: program name, type of assistance (loan, grant, interest rate subsidy, etc), and amount of assistance. For loans, list interest rate and term.

48. **Question Ref:** Q_662
Question Type: Budget

Federal sources committed to project

49. **Question Ref:** Q_664
Question Type: Budget

Local (municipal) sources committed to project, if different than applicant.

50. **Question Ref:** Q_665
Question Type: Budget

Private sources committed to project

HELP SECTION

For each source, list: program name, type of assistance (loan, grant, interest rate subsidy, bond financing, sales tax exemption on construction materials and/or non-manufacturing machinery or equipment, mortgage recording tax waiver, etc), and amount of assistance. For loan and bond financing, list interest rate and term.

51. **Question Ref:** Q_674
Question Type: Budget

Construction/Renovation

52. **Optional Question Header:**

Budget Categories (Enter dollar amounts below)

- Question Ref:** Q_681
Question Type: Budget

Salaries and Wages

HELP SECTION

For each person assigned by the applicant, indicate the position, title, annual salary including fringe benefits, and dollar amount to be charged to the project. (Fringe benefits include social security, workers' compensation, unemployment insurance, health insurance, and any other benefits).

53. **Question Ref:** Q_686
Question Type: Budget

Contractual Services

HELP SECTION

State the cost and describe briefly the extent and purpose of contractual services to be procured directly by the applicant. Each activity should be listed separately, unless procured together under one subcontract.

54. **Question Ref:** Q_688
Question Type: Budget

Other

HELP SECTION

State the cost and describe briefly budget items that do not fit in the categories above

For actual costs to be incurred list the type of cost, purpose and total cost.

For Volunteer Services – provide a generalized description and the total value.

For Donated Professional Services - indicate the service being provided and the total value.

For Donated Supplies and Materials – indicate the supplies and materials being provided and the total value

For Equipment Usage or Donated Equipment - indicate the purpose of its use and the total value.
