

Community Development Block Grant (CDBG) Economic Development

1. **Question Ref:** Q_62
Question Type: Threshold

Is the applicant an eligible New York State Non-entitlement municipality? Click Help for a list of eligible applicants.

HELP SECTION

Click [here](#) for a list of eligible NYS Community Development Block Grant (CDBG) applicants.

2. **Question Ref:** Q_68
Question Type: Threshold

Is the applicant applying on behalf of a proposed economic development project undertaken by a for-profit business?

3. **Question Ref:** Q_1172
Question Type: Threshold

Will the applicant comply with citizen participation requirements pursuant to 24 CFR 570.486 and the NYS Housing and Community Renewal Citizen Participation Plan prior to finalizing this application? (Documentation of compliance will be required in the CFA.)

HELP SECTION

Prior to submitting an application, Applicants must meet the citizen participation requirement at 24 CFR 570.486 and NYS Housing and Community Renewal's Citizen Participation Plan as amended which require Applicants to follow a citizen participation plan providing for a minimum of one public hearing (one in each jurisdiction of a joint application), and public availability of the application for inspection at the municipal office(s). The public hearing must be completed before finalizing the CFA.

4. **Question Ref:** Q_1554
Question Type: Threshold

Will the proposed project result in the creation and/or retention of jobs?

HELP SECTION

In calculating employment opportunities, the following applies:

- Part-time jobs must be converted to full-time equivalents (FTE). A FTE job is any combination of two or more part-time jobs that, when combined together, constitute the equivalent of a job of at least 40 hours per week;
- Only permanent jobs count; temporary jobs may not be included;
- Seasonal jobs are considered to be permanent if the season is long enough for the job to be considered as the employee's principal occupation; and
- Jobs indirectly created or retained by an assisted activity are not eligible to be counted.

In order to consider **jobs retained as a result of CDBG assistance**, there must be clear and objective evidence that permanent jobs will be lost without CDBG assistance. Documentation of evidence is required as part of this application. Acceptable evidence will be discussed later in the application.

5. **Question Ref:** Q_1555
Question Type: Threshold

Will at least 51% of the jobs created and/or retained as a result of the proposed project benefit low- to moderate income persons?

HELP SECTION

The proposed project must meet a federal national objective pursuant to HCDA Section 101(c), Section 104(b), 24 CFR 570.483.

A minimum of fifty-one percent (51%) of the jobs that are created or retained as a result of an economic development award must be either held by and/or made available to persons from low- and moderate- income (LMI) families.

Jobs “held by” LMI persons: A job is considered to be held by a LMI person if the person is, at the time their employment commences, a member of a family whose income falls at or below the applicable Section 8 program income limits. The family's entire income must be counted. (This is particularly important when dealing with part-time jobs or jobs taken by students.) The annual salary or hourly wage of the job that the person fills is irrelevant.

Jobs “available to” LMI persons: Jobs that are not held (filled) by LMI persons may be claimed to be “available to” LMI persons only when both of the following are met:

- The jobs do not require special skills that can only be acquired with substantial (i.e., one year or more) training or work experience, and education beyond high school is not a

prerequisite to fill such jobs, unless the business agrees to hire unqualified persons and train them; and

- The state grant recipient and/or the assisted business takes actions to ensure that LMI persons receive “first consideration” for filling such jobs.

Principles involved in providing “first consideration”:

- The business must use a hiring practice that under usual circumstances would result in over 51 percent of LMI persons interviewed for applicable jobs being hired,
- The business must seriously consider a sufficient number of LMI job applicants to give reasonable opportunity to fill the position with such a person, and
- The distance from residence and availability of transportation to the job site must be reasonable before a particular LMI person may be considered a serious applicant for the job.

In addition, in order to consider **jobs retained as a result of CDBG assistance**, there must be clear and objective evidence that permanent jobs will be lost without CDBG assistance. Documentation of evidence is required as part of this application. Acceptable evidence will be discussed later in the application.

6. **Question Ref:** Q_539
Question Type: Threshold

Does the proposed activity include assistance to a for-profit business in the form of lobbying or other political activities?

HELP SECTION

CDBG Economic development activity that is not eligible under HCDA Section 105(a)(17).

7. **Question Ref:** Q_542
Question Type: Threshold

Does the proposed activity include planning for economic development projects, including conducting market surveys to determine an appropriate type of business to attempt to attract to a particular area, developing individual

commercial or industrial project plans, and identifying actions to implement those plans?

HELP SECTION

CDBG Economic development activity not eligible under HCDA Section 105(a)(17).

8. **Question Ref:** Q_221
Question Type: Threshold

Will any of the costs identified in this application budget be incurred prior to award?

HELP SECTION

If any project costs, regardless of their funding source, are incurred prior to the latter of the CDBG award date or the approval of the Request for Release of Funds by the Office of Community Renewal, the entire project may be deemed ineligible for CDBG funds.

9. **Question Ref:** Q_223
Question Type: Threshold

Will the proposed project be complete within 24 months from project award?

HELP SECTION

Pursuant to the NYS CDBG Program, applicants should only apply for the amount of funding that can be fully expended and the type of activities that can be completed within the specified project completion period of twenty-four (24) months. Applicants should not proceed with a project that cannot be completed within the specified timeframe or with the assumption that an extension of the project deadline will be considered.

10. **Question Ref:** Q_184
Question Type: Basic

NYS Assembly District(s) where the project is located. (please enter a number between 1 and 150 that represents your Assembly District)

HELP SECTION

Click [HERE](#) to determine your Assembly district.

11. **Question Ref:** Q_190
Question Type: Basic

NY Senate District(s) where the project is located. (please enter a number between 1 and 62 that represents your Senate District)

HELP SECTION

Click [HERE](#) to determine your Senate district.

12. **Optional Question Header:**

Applicant Information

- Question Ref:** Q_546
Question Type: Basic

Legal Name of Applicant

13. **Question Ref:** Q_547
Question Type: Basic

Contact First Name

14. **Question Ref:** Q_549
Question Type: Basic

Type of Applicant (select all that apply)

15. **Question Ref:** Q_551
Question Type: Basic

Applicant Street Address

16. **Question Ref:** Q_552
Question Type: Basic

Applicant City

17. **Question Ref:** Q_553
Question Type: Basic

Applicant State

18. **Question Ref:** Q_554
Question Type: Basic

Applicant Zip Code. (please use Zip+4 if known)

19. **Question Ref:** Q_555
Question Type: Basic

Applicant Email Address

20. **Question Ref:** Q_556
Question Type: Basic

Select an applicant ID type from the list below that you normally use to identify your organization on application forms.

HELP SECTION

Applicants will be required to provide the specified ID number upon request by the funding agencies.

21. **Question Ref:** Q_561
Question Type: Basic

Additional Contact Email Address

22. **Question Ref:** Q_562
Question Type: Basic

Additional Contact Phone Number. (please include area code)

23. **Question Ref:** Q_565
Question Type: Basic

Project City

24. **Question Ref:** Q_568
Question Type: Basic

Project State

25. **Optional Question Header:**

Project Description

Question Ref: Q_575

Question Type: Basic

Project Description. Concisely describe the project, indicating the location, what will be planned, designed, and/or constructed, the issues/opportunities to be addressed, and expected outcomes and deliverables. Additional details will be collected later in the application process.

26. **Question Ref:** Q_580

Question Type: Basic

Status of Permits

27. **Question Ref:** Q_651

Question Type: Basic

Applicant Telephone Number, (please include area code)

28. **Question Ref:** Q_969

Question Type: Basic

If you are a business, have you been certified as an Minority or Women-owned Business Enterprise (MWBE)?

29. **Question Ref:** Q_970

Question Type: Basic

Additional Project Contact Last Name

30. **Question Ref:** Q_971

Question Type: Basic

Project Without a Street Address: please enter a description of the project location. Include project starting/ending street addresses, cities & zip codes if applicable.

31. **Question Ref:** Q_972

Question Type: Basic

Project county or counties.

32. **Question Ref:** Q_973
Question Type: Basic

Status of State and/or Federal Environmental Review.

33. **Question Ref:** Q_975
Question Type: Basic

Estimated Project Timeline: including project start/completion dates, estimates for design, permitting and construction or other major steps.

34. **Question Ref:** Q_1034
Question Type: Basic

Project Zip Code. (please use Zip+4 if known)

35. **Question Ref:** Q_1049
Question Type: Basic

Contact Last Name

36. **Question Ref:** Q_1050
Question Type: Basic

Contact Title

37. **Question Ref:** Q_1051
Question Type: Basic

Additional Contact Title

38. **Question Ref:** Q_1052
Question Type: Basic

Additional Project Contact First Name

39. **Question Ref:** Q_928
Question Type: Basic

Project Street Address: if the project does not have a definite street address, please skip to "Project without a Street Address" below.

40. **Question Ref:** Q_929
Question Type: Basic

Current State of Project Development (i.e. planning, preliminary engineering, final design, etc)

41. **Question Ref:** Q_930
Question Type: Basic

Explain what makes your project a regional economic priority - for example creates jobs, economic investment, sustainability and community revitalization, etc.

42. **Question Ref:** Q_1603
Question Type: Basic

Was this project or a phase of this project awarded funding in CFA Round I ?

43. **Question Ref:** Q_1604
Question Type: Basic

If yes, with which agency(s)?

44. **Question Ref:** Q_1605
Question Type: Basic

If funding was received in a prior round of the CFA, indicate the amount of funding received.

45. **Question Ref:** Q_1502
Question Type: Attachment

Certification Form

HELP SECTION

The form can be found at
nysdhcr.gov/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm

In addition to uploading the Certification Form, a signed original form must be mailed to:

Office of Community Renewal
c/o CFA Certification Form
38-40 State Street
Hampton Plaza
Albany, NY 12207

- Question Ref:** Q_1519
Question Type: Attachment

Certification of Business Form.

HELP SECTION

The form can be found at:

<http://nysdhcr.gov/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm>.

46. **Question Ref:** Q_1562
Question Type: Attachment

Copy of the public hearing notice to demonstrate compliance with Citizen Participation requirements.

47. **Question Ref:** Q_1500
Question Type: Attachment

Community Development Grant/Loan Portfolio

HELP SECTION

The form can be found at

nysdhcr.gov/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm.

All applicants are required to complete and attach this form. If the applicant has no open community development grants or loans at this time, please type "Not Applicable" on the form and upload.

48. **Question Ref:** Q_1501
Question Type: Attachment

CDBG Program Income Report

HELP SECTION

The form can be found at

nysdhcr.gov/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm.

All applicants are required to complete and attach this form. If the applicant has no program income to report, please type "Not Applicable" on the form and upload.

49. **Question Ref:** Q_1522
Question Type: Attachment

Proposed Project Financing and Lien Structure Form.

HELP SECTION

The form can be found at:

<http://nysdhcr.gov/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm>.

50. **Question Ref:** Q_1564
Question Type: Attachment

Commitment letter(s) from all other funding sources, including proposed terms.

51. **Question Ref:** Q_1521
Question Type: Attachment

Job Creation/Retention Table.

HELP SECTION

The form can be found at:

<http://nysdhcr.gov/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm>.

52. **Question Ref:** Q_656
Question Type: Attachment

A written commitment from the business that it will make at least 51% of the jobs on a full-time equivalent basis available to low- and moderate- income persons as well as a commitment of the equity contribution, if any, proposed in the budget.

53. **Question Ref:** Q_661
Question Type: Attachment

A description of the business' hiring process when indicating that at least 51% of the jobs will be "taken by" low- and moderate- income persons.

54. **Question Ref:** Q_1586
Question Type: Attachment

If jobs will be retained as a result of CDBG assistance, provide documentation of clear and objective evidence that those jobs would be lost without CDBG assistance.

HELP SECTION

In order to consider jobs retained as a result of CDBG assistance, there must be clear and objective evidence that permanent jobs will be lost without CDBG assistance. For these purposes, "clear and objective" evidence that jobs will be lost would include:

- Evidence that the business has issued a notice to affected employees or made a public announcement to that effect, or
- Analysis of relevant financial records which clearly and convincingly shows that the business is likely to have to cut back employment in the near future without the planned intervention.

To meet the LMI jobs standard, 51% or more of the retained jobs must be either:

- Known to be held by LMI persons at the time CDBG assistance is provided and/or
- Jobs not known to be held by LMI persons, but which can be reasonably expected to "turn over" to LMI persons within two (2) years. (This would involve the grant recipient or business taking actions to ensure that such a job, upon turnover, will be either taken by or made available to a LMI in a manner similar to that pertaining to a newly created job, as discussed above.) Reference: 24 CFR 570.483(b)(4)(iii).

55. **Question Ref:** Q_1565

Question Type: Attachment

Business Plan, with resumes of principals, market analysis, marketing strategy, and impact on local competitors.

56. **Question Ref:** Q_666

Question Type: Attachment

Business financial statements for each of the past three years (balance sheets and income statements), including all notes and disclosures.

57. **Question Ref:** Q_1560

Question Type: Attachment

Business federal income tax returns, Year 1 (the past 3 years of complete tax returns are required).

58. **Question Ref:** Q_1558
Question Type: Attachment

Business federal income tax returns, Year 2 (the past 3 years of complete tax returns are required).

59. **Question Ref:** Q_1559
Question Type: Attachment

Business federal income tax returns, Year 3 (the past 3 years of complete tax returns are required).

60. **Question Ref:** Q_669
Question Type: Attachment

Current business financial statements (less than 60 days old).

61. **Question Ref:** Q_671
Question Type: Attachment

Current business debt schedule (corresponds to current balance sheet).

62. **Question Ref:** Q_1571
Question Type: Attachment

Projected business debt schedule (with CDBG and other new debt).

63. **Question Ref:** Q_1570
Question Type: Attachment

Monthly cash flow projections for two years, with and without CDBG.

64. **Question Ref:** Q_1568
Question Type: Attachment

Balance sheet and profit and loss statement for three years with and without CDBG.

65. **Question Ref:** Q_1567
Question Type: Attachment

Current personal financial statement of principal(s) with 20 percent or more ownership (less than 60 days old).

66. **Question Ref:** Q_1566
Question Type: Attachment

Past three years personal federal tax returns (complete copies) for each principal with 20 percent or more ownership.

67. **Question Ref:** Q_1563
Question Type: Attachment

Third party cost estimates, including documentation of the cost of real property, acquisition, construction/rehabilitation, and/or equipment costs.

68. **Question Ref:** Q_1561
Question Type: Attachment

Draft CDBG loan/grant agreement.

HELP SECTION

Recipient communities must execute either a loan or a grant agreement with the beneficiary business.

69. **Question Ref:** Q_1557
Question Type: Attachment

Draft Subrecipient agreement (if using a Subrecipient).

HELP SECTION

A Subrecipient is an organization that is provided CDBG funds directly from an OCR Recipient for use in carrying out previously agreed upon eligible activities. Recipients may elect to sub-grant all or portions of their CDBG funds to a Subrecipient for administration of a specific activity. Further information on Subrecipients is located at: <http://nysdher.gov/Forms/NYS-CDBG/GAMChapter1.pdf>.

70. **Question Ref:** Q_1495
Question Type: Attachment

Exhibit 2-3A Certificate of SEQRA Classification

HELP SECTION

Form 2-3A Certification of SEQRA Classification may be found here:
nysdchr.gov/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm

71. **Question Ref:** Q_1490
Question Type: Attachment

Short Environmental Assessment Form if classified as an Unlisted Action or Full Environmental Assessment Form (Long EAF) if classified as a Type I action under State Environmental Quality Review (SEQR).

HELP SECTION

Applicants must conduct an assessment to determine the SEQR Classification of the proposed activities. If the Applicant determines the SEQR classification to be an Unlisted the Applicant must complete Short Environmental Assessment Form (Short Form) and include it as an exhibit to the application. If the Applicant determines the SEQR classification to be a Type I Action the Applicant must complete a Full Environmental Assessment Form (Long EAF) and include it as an exhibit to the application. Additional information on SEQR including the SEQR Short Form can be found at: <http://www.dec.ny.gov/permits/6191.html>.

72. **Question Ref:** Q_694
Question Type: Attachment

Appraisals of real property (if applicable).

73. **Question Ref:** Q_695
Question Type: Attachment

Evidence of site control (if applicable).

74. **Question Ref:** Q_696
Question Type: Attachment

Draft lease agreement(s) (if applicable).

75. **Question Ref:** Q_1496
Question Type: Attachment

Written documentation of support for the project

76. **Optional Question Header:**

Question Ref: Q_241

Question Type: Standard Question

Provide a brief description of the community's economic development needs including a discussion of economic trends and the community's plan to address the needs identified. (Refer to the Help section for a detailed list of information required to answer the question completely.)

HELP SECTION

The description should include the following:

- A description of existing industry in the community (i.e. warehousing, manufacturing, agriculture);
- Demographic information including median family income and percentage of persons in poverty;
- A description of the labor force needs, including a discussion of the unemployment rate in the community and region, and the skills available or lacking in the labor market;
- The most recent calendar year's county-wide unemployment data as provided by the New York State Department of Labor. Provide data for yearly and monthly averages;
- A description of disinvestment in the community, as evidenced by recent business closures over the last five years;
- An explanation of how the proposed project supports designated Empowerment Zones, Enterprise Communities, NYS Excelsior Program and NYS Empire Zones;
- Description of the proposed project's relationship to other community development activities underway or planned;
- Description of any municipal strategic or comprehensive redevelopment plans; long-range strategy or community needs assessment survey that the project supports and how the project addresses the needs identified in the plan(s), strategy or community needs assessment. Explain why the proposed project is the best approach to addressing the need identified. Provide the date the plan(s) was adopted and the term of the plan. Do not submit plans, strategies or surveys with your application;
- Explain how the project will support or complement other public works, housing, economic development, main street revitalization or other community goals, particularly those that benefit (direct or indirect) LMI persons.

77. **Question Ref:** Q_242

Question Type: Standard Question

Provide a detailed description of the business/activity seeking funding including all appropriate quantifiable information and any unique aspects.

HELP SECTION

Examples of quantifiable information include how CDBG funding will be provided to the beneficiary (loan, grant, terms, etc.); impact on residents, suppliers or end users, etc. The description should be specific and provide sufficient detail concerning the nature, scope, location, and purpose of activities that will be addressed by the proposed project and coordination of related activities. Describe any past efforts to resolve the needs identified. Explain why the proposed project is the best approach to addressing the need identified.

78. **Question Ref:** Q_731

Question Type: Standard Question

Will the CDBG funds be used toward eligible project costs?

HELP SECTION

Eligible uses of NYS CDBG Economic Development funds include: acquisition of real property; financing of machinery, furniture, fixtures and equipment; building construction and renovation; working capital; inventory; and employee training expenses. Use of CDBG funds toward construction and renovation costs are subject to Davis Bacon Wage Rate requirements. This includes the cost of equipment that requires installation as well as the purchase of materials used for construction activities.

79. **Question Ref:** Q_1183

Question Type: Standard Question

Enter the number of full-time equivalent employees (at the time of application), employed by the business to be assisted.

80. **Question Ref:** Q_1184

Question Type: Standard Question

If the company operates out of multiple locations, identify each location and the number of full-time equivalent employees (at the time of application) at each location.

81. **Question Ref:** Q_526

Question Type: Standard Question

Will the proposed project result in the relocation of a plant, facility or operation? If so, provide the address of the plant/facility/operation being relocated and identify how many positions will be eliminated.

HELP SECTION

Anti-pirating rules pursuant to Section 105 of the HCDA, Section 588 of the Quality Housing and Work Responsibility Act, Subsection (h) and 24 CFR 570.482(h).

82. **Question Ref:** Q_1584

Question Type: Standard Question

What is the total number of jobs to be created as a result of the proposed project, within two (2) years from project commencement? (See the Help section for guidance on calculating total jobs.)

HELP SECTION

In counting the jobs, the following policies apply:

- Only include jobs that have not yet been created;
- Part-time jobs must be converted to full-time equivalents (FTE). A FTE is any combination of two or more part-time jobs that, when combined together, constitute the equivalent of a job of at least 40 hours per week;
- Only permanent jobs count; temporary jobs may not be included;
- Seasonal jobs are considered to be permanent for this purpose only if the season is long enough for the job to be considered the employee's principal occupation;
- All permanent jobs created or retained by the activity must be counted even if the activity has multiple sources of funds; and
- Jobs indirectly created or retained by an assisted activity may not be counted.

83. **Question Ref:** Q_1583

Question Type: Standard Question

Of the total number of jobs to be created as a result of the proposed project, how many of those jobs will benefit persons of low- to moderate- income (LMI)? (See the Help section for the definition of LMI jobs.)

HELP SECTION

The proposed project must meet a federal national objective pursuant to HCDA Section 101(c), Section 104(b), 24 CFR 570.483.

A minimum of fifty-one percent (51%) of the jobs that are created as a result of an economic development award must be either held by and/or made available to persons from low- and moderate- income (LMI) families.

Jobs “held by” LMI persons: A job is considered to be held by a LMI person if the person is, at the time their employment commences, a member of a family whose income falls at or below the applicable Section 8 program income limits. The family’s entire income must be counted. (This is particularly important when dealing with part-time jobs or jobs taken by students.) The annual salary or hourly wage of the job that the person fills is irrelevant.

Jobs “available to” LMI persons: Jobs that are not held (filled) by LMI persons may be claimed to be “available to” LMI persons only when both of the following are met:

- The jobs do not require special skills that can only be acquired with substantial (i.e., one year or more) training or work experience, and education beyond high school is not a prerequisite to fill such jobs, unless the business agrees to hire unqualified persons and train them; and
- The state grant recipient and/or the assisted business takes actions to ensure that LMI persons receive “first consideration” for filling such jobs.

Principles involved in providing “first consideration”:

- The business must use a hiring practice that under usual circumstances would result in over 51 percent of LMI persons interviewed for applicable jobs being hired,
- The business must seriously consider a sufficient number of LMI job applicants to give reasonable opportunity to fill the position with such a person, and
- The distance from residence and availability of transportation to the job site must be reasonable before a particular LMI person may be considered a serious applicant for the job.

84. **Question Ref:** Q_532

Question Type: Standard Question

If jobs will be lost without assistance from New York State, how many jobs will the proposed project retain? (See the Help section for rules on claiming retained jobs.)

HELP SECTION

In order to consider jobs retained as a result of CDBG assistance, there must be clear and objective evidence that permanent jobs will be lost without CDBG assistance. For these purposes, "clear and objective" evidence that jobs will be lost would include:

- Evidence that the business has issued a notice to affected employees or made a public announcement to that effect, or
- Analysis of relevant financial records which clearly and convincingly shows that the business is likely to have to cut back employment in the near future without the planned intervention.

85. **Question Ref:** Q_965

Question Type: Standard Question

Of those jobs retained, how many jobs are currently held by low- to moderate-income (LMI) persons and/or can be reasonably expected to "turn over" to LMI persons within two (2) years? Also, provide an explanation of how the LMI job standard will be met.

HELP SECTION

To meet the LMI jobs standard, 51% or more of the retained jobs must be either:

- Known to be held by LMI persons at the time CDBG assistance is provided and/or
- Jobs not known to be held by LMI persons, but which can be reasonably expected to "turn over" to LMI persons within two (2) years. (This would involve the grant recipient or business taking actions to ensure that such a job, upon turnover, will be either taken by or made available to a LMI in a manner similar to that pertaining to a newly created job, as discussed above.) Reference: 24 CFR 570.483(b)(4)(iii).

86. **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.

87. **Question Ref:** Q_1587

Question Type: Standard Question

How will the proposed project comply with the NYS CDBG Economic Development Program Guidelines? Address each guideline specific to the

activity being proposed (Economic Development or Small Business Assistance) individually in your response.

HELP SECTION

Reference the CDBG ED Program Guidelines for specifics:

<http://nysdher.gov/AboutUs/Offices/CommunityRenewal/FundingOpportunities.htm>.

NOTE: The maximum awards are not intended to serve as a target figure for requests for assistance. The amount of CDBG assistance should be based on need and CDBG funds should not be used to reduce the amount of non-federal financial support for the project.

88. **Question Ref:** Q_1182

Question Type: Standard Question

For the business to be assisted, describe how the proposed activities meet the following underwriting guidelines for evaluating project costs and financial requirements. 1. That project costs are reasonable; 2. That all sources of project financing are committed; 3. That to the extent practicable, CDBG funds will not be substituted for non-federal financial support; 4. That the project is financially feasible; 5. That to the extent practicable, the return on owner's equity investment will not be unreasonably high; and 6. That to the extent practicable, CDBG funds will be disbursed on a pro rata basis with other financing. A thorough financial underwriting of the business and proposed project must be conducted. Each of the six (6) criteria listed above must be covered and explained in detail.

HELP SECTION

See Appendix A to 24 CFR Part 570 - Guidelines and Objectives for Evaluating Project Costs and Financial Requirements for further guidance.

89. **Question Ref:** Q_246

Question Type: Standard Question

Describe efforts to secure alternative or additional funds from all appropriate public or private sources available to assist in financing the proposed activity. In detail, explain the impact of the NYS CDBG funds on the total cost of the project and the beneficiaries (e.g. lack of other sources of funding). List the sources of cost estimates (where appropriate, project costs should be as recent as possible and documented by a qualified third party).

90. **Question Ref:** Q_247

Question Type: Standard Question

Describe how the applicant and business will comply with job reporting requirements contained in the NYS OCR Grant Administration Manual.

HELP SECTION

Reference Chapter 9, 'Reporting Requirements' of the NYS OCR Grant Administration Manual for guidance on job reporting requirements. The Manual can be found at, <http://nysdhcr.gov/Programs/NYS-CDBG/GrantAdministration.htm>.

91. **Question Ref:** Q_244

Question Type: Standard Question

Provide a detailed description of the program delivery and administration tasks required to undertake this project including who will undertake these tasks, the costs associated with the tasks, and how the costs were determined.

HELP SECTION

An applicant may request up to \$16,000 of CDBG funds to be used to cover grant administration costs and program delivery costs.

Grant Administration Costs: Generally, these are costs associated with salaries, wages, and related costs of the grant recipient's staff, the staff of local public agencies, or other staff engaged in program administration for the awarded grant. General operating expenses are ineligible for reimbursement from the grant funds.

Program Delivery Costs: These are those costs that can be directly attributed to activities for delivery of specific proposed activities. These include in-house staff or third party costs.

Reference the NYS Office of Community Renewal Grant Administration Manual, Chapter 3, for examples of Grant Administration and Program Delivery Costs. <http://nysdhcr.gov/Programs/NYS-CDBG/GrantAdministration.htm>

OMB Circular A-87 establishes standards for determining whether specific costs are allowable under the NYS CDBG program. The uniform approach established in this circular for determining costs promotes effective program delivery and efficiency.

92. **Question Ref:** Q_1576

Question Type: Standard Question

Enter the amount of program delivery funds allocated to the project from the State CDBG funds requested. Describe how the funds will be allocated to cover the costs of program delivery.

HELP SECTION

For Economic Development and Small Business Assistance projects, program delivery and grant administration costs combined **may not exceed \$16,000** out of the total CDBG funds requested.

Program Delivery Costs: These are costs that can be directly attributed to activities for delivery of specific proposed activities. Pre-award costs are ineligible for reimbursement from the grant funds. These include in-house staff or third party costs.

For Economic Development and Small Business Assistance, these activities can include:

- Marketing grant activities;
- Services verifying client eligibility;
- Providing education or counseling to beneficiaries;
- Preparation of site specific environmental review and environmental assessment such as well testing or phase 1 archaeology;
- Preparation of loan closing documents, all costs associated with perfecting security, repayment processing, loan disbursement;
- Professional service fees including engineering and architectural fees required to deliver the program and review of project documentation, etc.
- Legal expenses related to construction such as temporary or permanent easements and filing fees;
- Any required building or regulatory permit or fees associated with regulatory compliance;
- Development of construction specifications, bid preparation and contracting;
- Labor standards compliance work including completion of required on-site employee interviews, verifying and reviewing certified payrolls;
- Client/contractor troubleshooting;
- Any other professional services required to deliver the program.

93. **Question Ref:** Q_1578

Question Type: Standard Question

Enter the amount of grant administration funds allocated to the project from the State CDBG funds requested. Describe how the funds will be allocated to cover the costs of administration.

HELP SECTION

For Economic Development and Small Business Assistance projects, grant administration and program delivery costs combined **may not exceed \$16,000** out of the total CDBG grant amount.

Grant Administration Costs: Generally, these are costs associated with salaries, wages, and related costs of the grant recipient's staff, the staff of local public agencies, or other staff engaged in program administration for the awarded grant. General operating expenses and pre-award costs are ineligible for reimbursement from the grant funds. Examples of eligible administrative costs include:

- Providing local officials and citizens with information about the program;
- Preparing program budgets and schedules and amendments thereto;
- Developing systems for assuring compliance with program requirements;
- Costs associated with the Environmental Review Process for the overall program, including the release of funds.
- Preparing Requests for Proposals with consultants for grant administration or other consulting work, such as architectural or Engineering services.
- Developing interagency agreements and agreements with sub recipients and contractors to carry out program activities;
- Monitoring program activities for progress and compliance with program requirements;
- Preparing reports and other documents for submission to the State regarding the grant;
- Coordinating the resolution of audit and monitoring findings;
- Evaluating program results against State objectives; and
- Managing or supervising persons whose primary responsibilities with regard to the program include such assignments as those described above;
- Costs incurred for official business travel in carrying out the program and administrative services performed under a third party contract.
- Purchase of capital equipment, such as file cabinets, for grant administration.
- Training on CDBG grant administration requirements.

For more information concerning eligible administrative costs, applicants should read 24 CFR Subpart C 570.206.

94. **Question Ref:** Q_1251

Question Type: Standard Question

Describe any fringe benefits that will be provided to employees hired/retained as a result of this project (if applicable). Examples: Group insurance (health, dental, life), retirement benefits, etc.

95. **Question Ref:** Q_1250

Question Type: Standard Question

Describe any training, professional development, or educational opportunities that will be provided to the employees hired/retained as a result of this project (if applicable).

96. **Question Ref:** Q_714

Question Type: Standard Question

I understand that NYS Housing and Community Renewal may require additional project information.

97. **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>

98. **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>

99. **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>

100. **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>

101. **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>

102. **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>

103. **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>

104. **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>

105. **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>

106. **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>

107. **Optional Question Header:**

General Certifications

Question Ref: Q_1037
Question Type: Certification

By entering your name in the box below, you certify and agree that you are authorized on behalf of the applicant and its governing body to commit the applicant to comply with the requirements of Article 15-A of the New York State Executive Law: Participation By Minority Group Members and Women With Respect To State Contracts by providing opportunities for MBE/WBE participation. You further certify that the applicant will maintain such records and take such actions necessary to demonstrate such compliance throughout the completion of the project.

108. **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.

109. **Optional Question Header:**

Funding Sources (Enter dollar amounts below)

Question Ref: Q_657
Question Type: Budget

Total Project Cost

110. **Question Ref:** Q_659
Question Type: Budget

Amount provided directly by applicant toward project

111. **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.

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

Federal sources committed to project

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

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

114. **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.

115. **Question Ref:** Q_668
Question Type: Budget

Not-for-Profit/foundation funding committed to project

116. **Optional Question Header:**

Expenditure Activities (Enter dollar amounts below)

- Question Ref:** Q_670
Question Type: Budget

Planning

117. **Question Ref:** Q_672
Question Type: Budget

Design

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

Construction/Renovation

119. **Question Ref:** Q_676
Question Type: Budget

Property Acquisition

120. **Question Ref:** Q_677
Question Type: Budget

Training

121. **Question Ref:** Q_679
Question Type: Budget

Marketing, Outreach, Advertising

122. **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).

123. **Question Ref:** Q_682
Question Type: Budget

Supplies/Materials

HELP SECTION

State the cost and describe briefly the supplies and materials to be purchased by the applicant. Note that the donation of supplies and materials should be listed in Other

124. **Question Ref:** Q_684
Question Type: Budget

Equipment and Machinery

HELP SECTION

This category is for the purchase of equipment and machinery directly by the applicant. List each piece of equipment/machinery to be purchased outlining the purpose of its use with an estimated cost. Note that equipment/machinery rental and the value of the use or donation of equipment/machinery should be listed in Other.

125. **Question Ref:** Q_685
Question Type: Budget

Travel

HELP SECTION

State the purpose and the estimated cost of travel by the applicant

126. **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.

127. **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.

128. **Question Ref:** Q_719

Question Type: Budget

Furniture and Fixtures

129. **Question Ref:** Q_721

Question Type: Budget

Rent

HELP SECTION

State the terms and cost of rent to be incurred by the applicant.

130. **Question Ref:** Q_722

Question Type: Budget

Utilities

HELP SECTION

State the nature of utilities to be used and the costs to be incurred by the applicant.
