



**Homes and  
Community Renewal**

# **Office of Community Renewal CDBG Program**

**Smart Management for Small Communities:  
Practical Resources for Governance  
EFC - Minnowbrook Conference Center  
Blue Mountain Lake, NY**

**April 26-27, 2016**

# CDBG Program

## Community Economic Development Funding Forum

### Program Summary

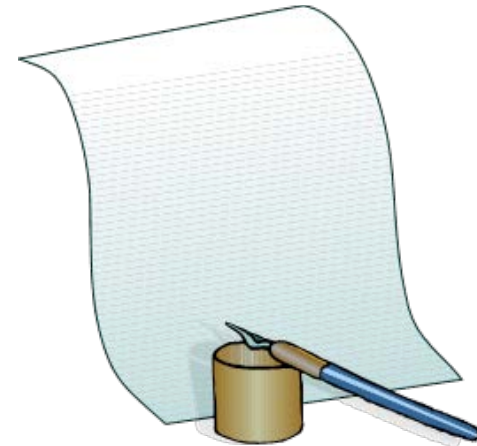
- Overview
- Eligible Activities
- Ineligible Activities
- Funding History

### Application Process

- Preparing to Apply
- Consolidated Funding Application (CFA)
- Community Development On Line (CDOL)
- CDBG Scoring Criteria Overview

### Application Tips

- Scoring Criteria
- Application Tips
- Common Deficiencies
- Additional Program Guidance



# Program Summary

# CDBG Program Summary

## Overview

- 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

# CDBG Program Summary

## Overview

- Annual Competitive Applications
- User defined area of need
- Two (2) year contract term, except 14 month for planning
- Eligible Applicants: Units of Local Government with populations of less than 50,000 and counties with populations of less than 200,000
  - Refer to the list of eligible communities located at:  
<http://www.nyshcr.org/Programs/NYS-CDBG/EligibleCommunities.htm>
- 18% maximum of the CDBG requested funds for Public Infrastructure, Facilities and Housing for Administration, Program Delivery, Engineering and Architecture
- For Microenterprise, applicants may request up to 25% of the CDBG award in program delivery, administration, and training combined. Of the 25%, administration must not exceed more than 5% of the total project cost.
- \$16,000 maximum of the CDBG requested funds for all Economic Development activities for Administration and Program Delivery.



# CDBG Program Summary

## Overview

- All CDBG funded activities must meet National Objective Compliance
  - LMA: Low/Mod area benefit
  - LMC: Low/Mod Limited Clientele benefit
  - SBS/SBA: Slums and Blight Spot or Area Basis
  - LMJ: Low/Mod Jobs benefit
  - LMCMC: Used in the microenterprise program when the owner of the business is determined to LMI
  - LMH: Low/Mod Housing Benefit

# Funding History

2011 - 2015



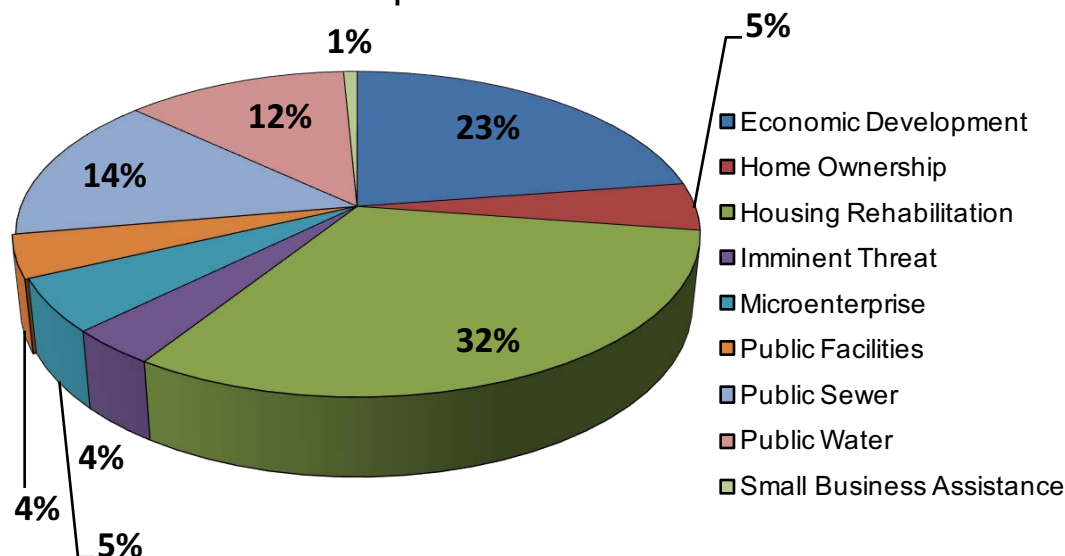
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# CDBG Program Summary

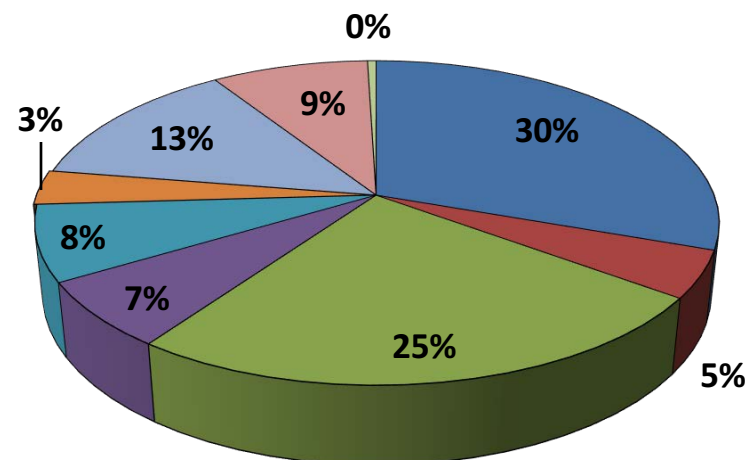
## Funding History

2011 Allocation: \$44,032,414

2011 Requested Amounts



2011 Awarded Amounts

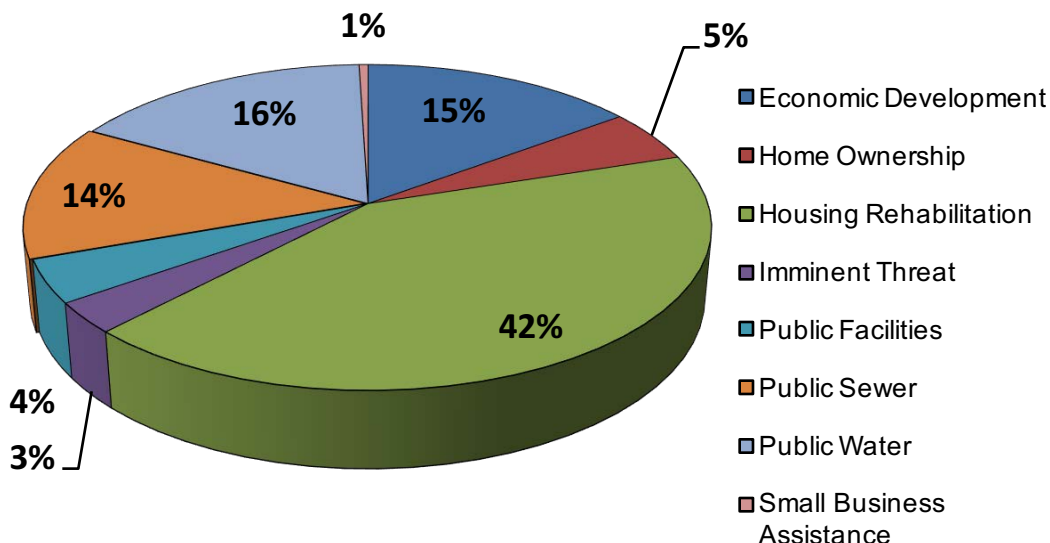


# CDBG Program Summary

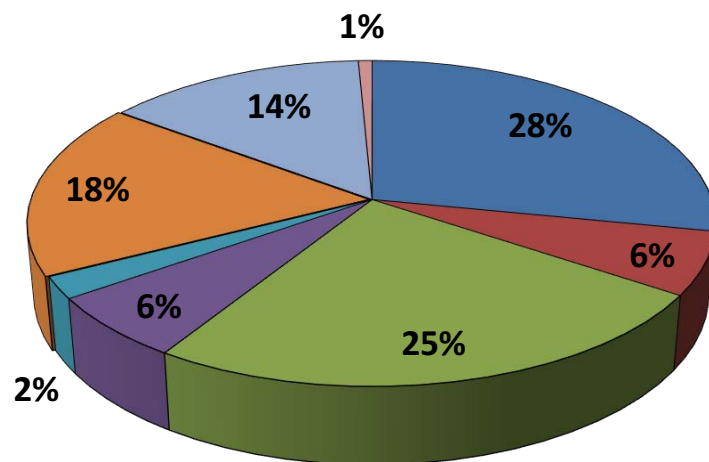
## Funding History

2012 Allocation: \$40,642,169

2012 Requested Amounts



2012 Awarded Amounts

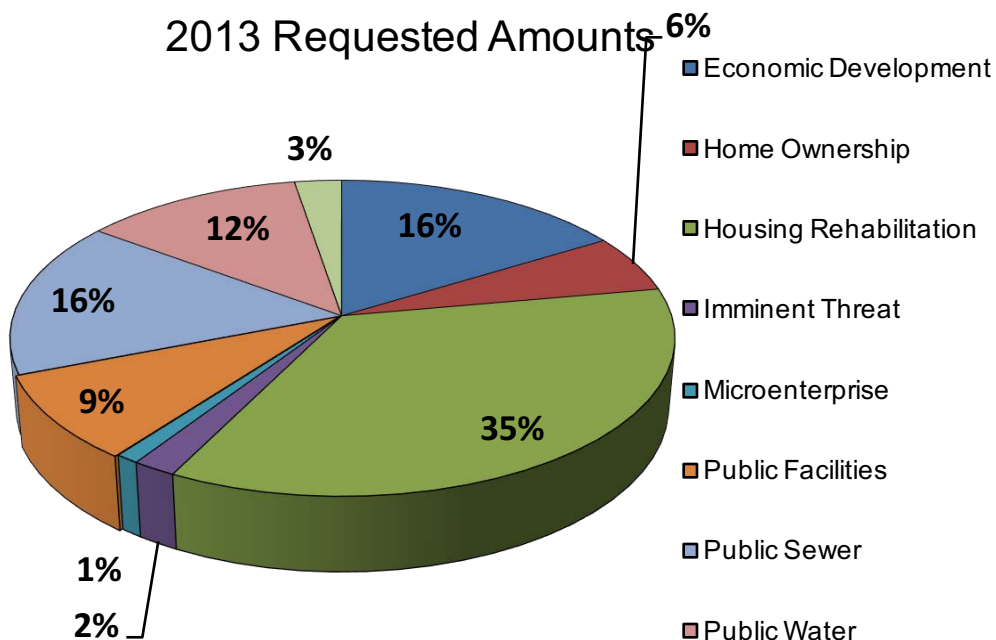


# CDBG Program Summary

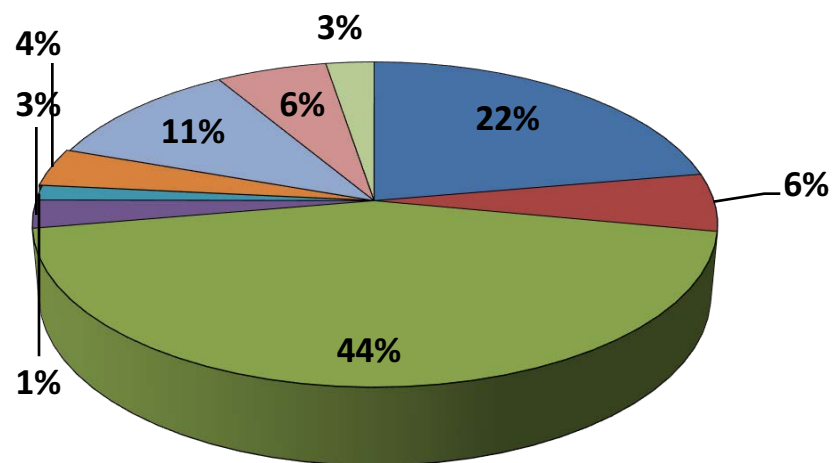
## Funding History

2013 Allocation: \$42,689,894

2013 Requested Amounts



2013 Awarded Amounts

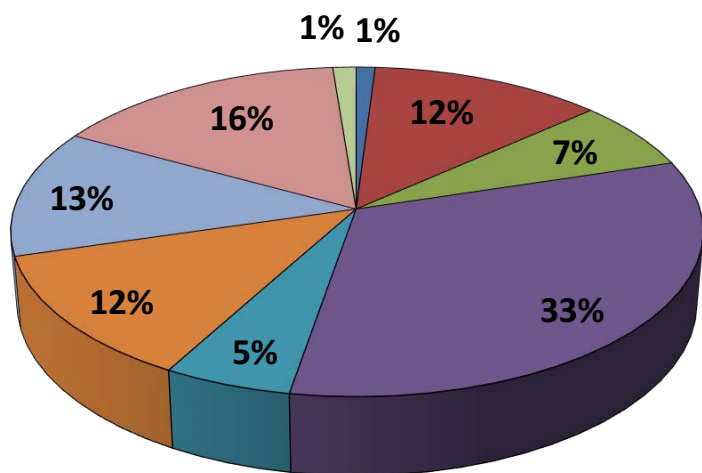


# CDBG Program Summary

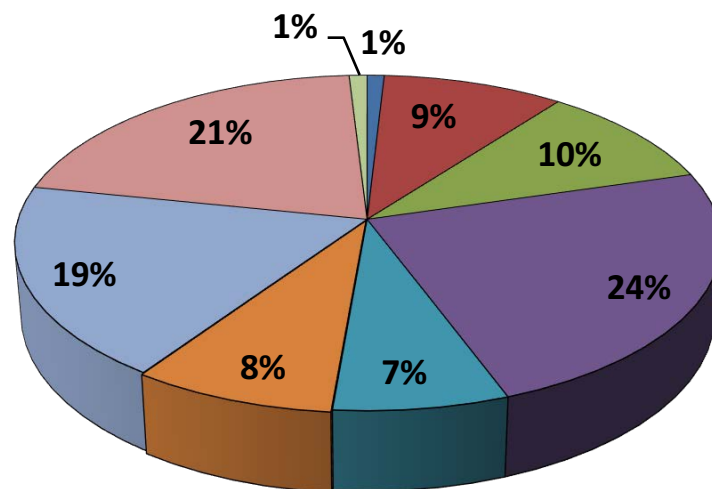
## Funding History

2014 Allocation: \$41,865,858

2014 Requested Amounts



2014 Awarded Amounts



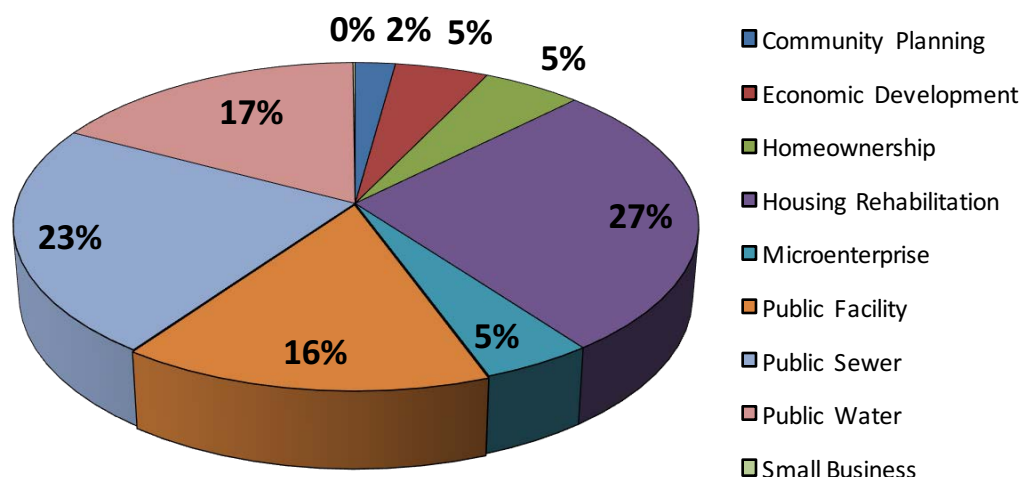
- Community Planning
- Economic Development
| Homeownership | 7% |
 Housing Rehabilitation | 33% | Microenterprise | 5% | Public Facility | 12% | Public Sewer | 1% | Public Water | 16% | Small Business | 1% |

# CDBG Program Summary

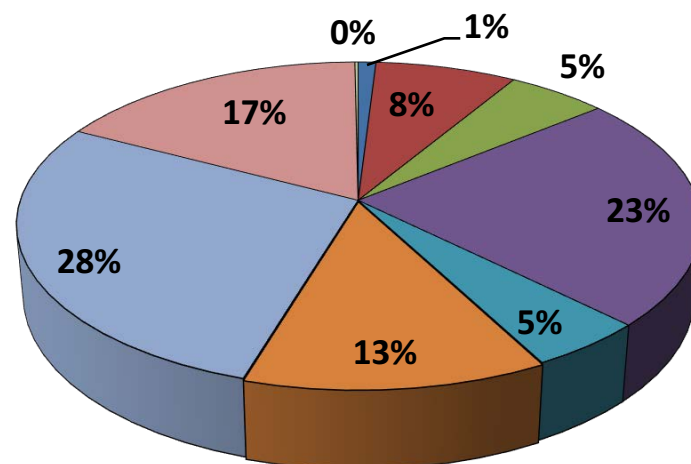
## Funding History

2015 Allocation: \$45,416,634

2015 Requested Amounts



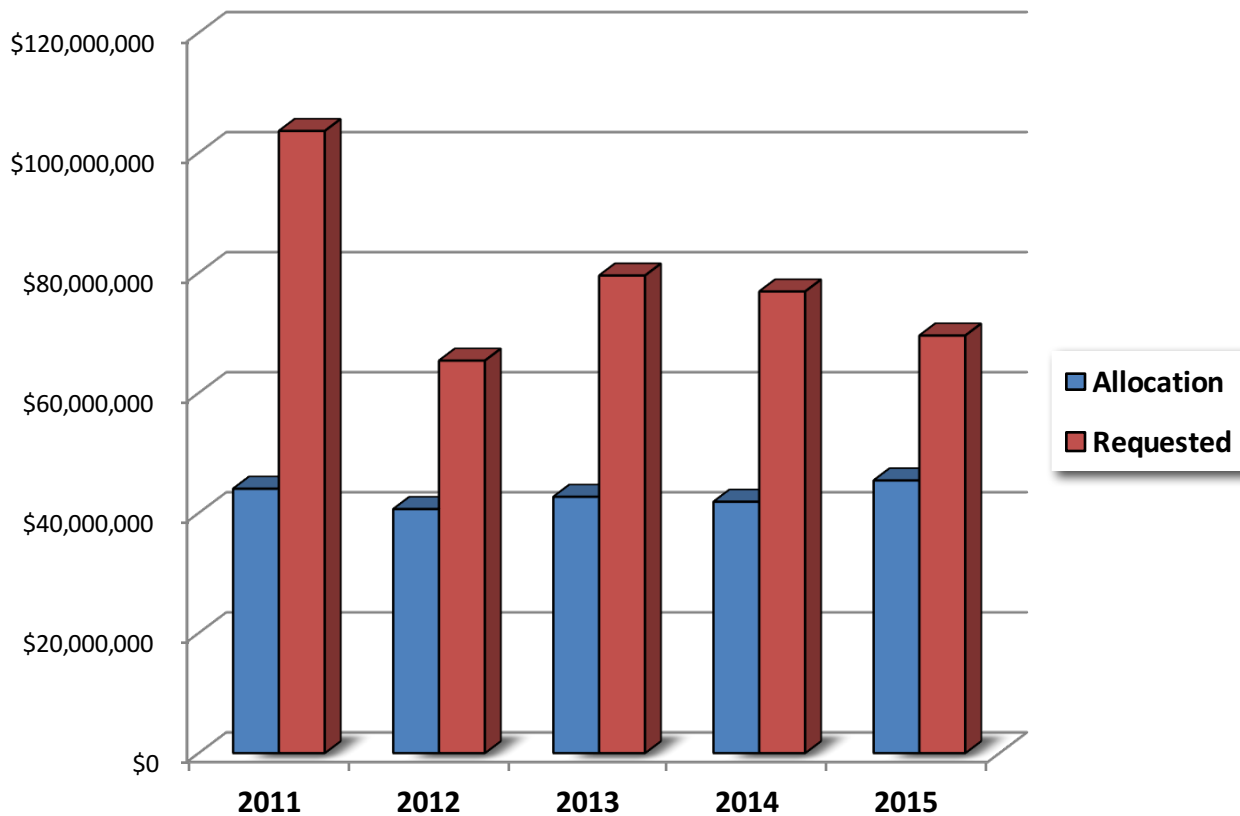
2015 Awarded Amounts



# CDBG Program Summary

## Funding History

### Allocation and Requests 2011 - 2015



# Eligible Activities



# CDBG Program Summary

## Eligible Activities

### Public Infrastructure

- Public Water
- Public Sewer
- Flood drainage improvements
- Other public improvements

### Public Facilities

- Fire Stations
- ADA Compliance (except new construction)
- Community Centers
- Healthcare Centers
- Senior Centers



# CDBG Program Summary

## Eligible Activities

### Microenterprise Assistance

- (5 employees or less, including owner)
- 10% cash equity required

The following is available through an Open Round.

- Traditional Economic Development
- Small Business Assistance (25 or fewer employees)



# CDBG Program Summary

## Eligible Activities, continued

### Housing Activities

- Single Unit Housing Rehabilitation
- Multi-Unit (2-3 unit) Housing Rehabilitation
- Multi-Unit (4 or more units) Housing Rehabilitation
- Mobile Home Replacement
- Well and Septic Replacement
- Lateral Connection Assistance
- Homeownership



# CDBG Program Summary

## Eligible Activities, continued

### Community Planning

- Community Needs Assessment
  - Public Infrastructure
  - Public Facilities
  - Economic Development
  - SWOT or Strengths, Weaknesses, Opportunities and Threats
  - Energy Conservation Plans
  - Housing Conditions Survey
  
- Preliminary Engineering for Water or Sewer

# CDBG Program Summary

## Ineligible Activities

- Projects that do not meet a National Objective
- Construction of new housing
- 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.
- Planning that addresses comprehensive plans, strategic plans, master plans

# Funding Limits

# CDBG Program Summary

## Funding Limits

### Public Infrastructure

- Counties, Towns, Cities or Villages \$750,000
- Shared Municipal Infrastructure \$900,000
- With NYS Co-Funding Initiative \$1,000,000

### Public Facilities

- Counties, Towns, Cities or Villages \$300,000



# CDBG Program Summary

## Funding Limits, continued

### Housing (all activities)

➤ Towns, Cities or Villages	\$500,000
➤ Counties	\$750,000

### Community Planning

➤ Counties, Towns, Cities or Villages	\$50,000
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# CDBG Program Summary

## Funding Limits, continued

### Microenterprise

- \$5,000 to \$35,000 per business
- \$200,000 total per application



### For Open Round applications:

#### Economic Development

- Up to \$15,000 per job, maximum CDBG of \$750,000
- Up to 40% of total project cost

#### Small Business Assistance

- Minimum \$25,000
- Maximum \$100,000
- Up to 40% of total project cost
- 20% owner equity
- 1 FTE for every \$25,000

# Preparing to Apply



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# CDBG Application Process

## Preparing to Apply

**Identified National Objective**

**Need for CDBG Funds and Project**

**Descriptive Planning Efforts**

**Sufficient Marketing & Outreach**

**Strong Community Partners**

**Secured Funding Commitments**

**Program Policy and Procedures**

**Public Notice and Hearing**

**Application Funded**

**Application Not Successful**



**Grant Award**



**Exit Conference**

# CFA Application

**Public Infrastructure  
Public Facility  
Economic Development  
Community Planning**



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# CDBG Application Process

## Preparing to Apply

The following application types will apply for CDBG assistance through the Consolidated Funding Application (CFA):

- Public Infrastructure
- Public Facilities
- Community Planning
- Microenterprise


The following application types will be available for CDBG assistance through an Open Round:

- Economic Development
- Small Business Assistance



# CDBG Application Process

## Preparing to Apply



ServicesNewsGovernmentLocal


Q SearchLocation

REGIONAL ECONOMIC DEVELOPMENT COUNCILS

REGIONSNEWSFAQSMAPMATERIALSCONSOLIDATED FUNDING APPLICATIONCFA PROJECT INFO

2015 Regional Economic Development Council Awards Announced. [Learn More.](#)

### Regional Councils



2015 Regional Council Guidebook

2015 Upstate Revitalization Guidebook

CFA Resource Manual


CFA Application Guide


### Welcome to the New New York

The Regional Economic Development Council initiative (REDC) is a key component of Governor Andrew M. Cuomo's transformative approach to State investment and economic development. In 2011, Governor Cuomo established 10 Regional Councils to develop long-term strategic plans for economic growth for their regions. The Councils are public-private partnerships made up of local experts and stakeholders from business, academia, local government, and non-governmental organizations.

The Regional Councils have redefined the way New York invests in jobs and economic growth by putting in place a community-based, bottom up approach and establishing a competitive process for State resources.

Explore the map above and learn more about how these plans will create jobs in the communities in your region and help to revitalize our state from the ground up.





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# CDBG Application Process

## Resources

- NYS CDBG Program Guidelines  
<http://www.nyshcr.org/Programs/NYS-CDBG/>
- NYS CDBG Economic Development Program Guidelines  
<http://www.nyshcr.org/Programs/NYS-CDBG/EDProgramGuidelines.pdf>
- NYS CDBG Microenterprise Program Guidelines  
<http://www.nyshcr.org/Programs/NYS-CDBG/MEProgramGuide.pdf>
- Regional Economic Development Councils  
<http://regionalcouncils.ny.gov/>
- Consolidated Funding Application  
<https://apps.cio.ny.gov/apps/cfa/>



# CDOL Application

## Housing Activities



# CDBG Application Process

## Preparing to Apply

The following application types will apply for CDBG assistance through the Community Development On Line (CDOL):

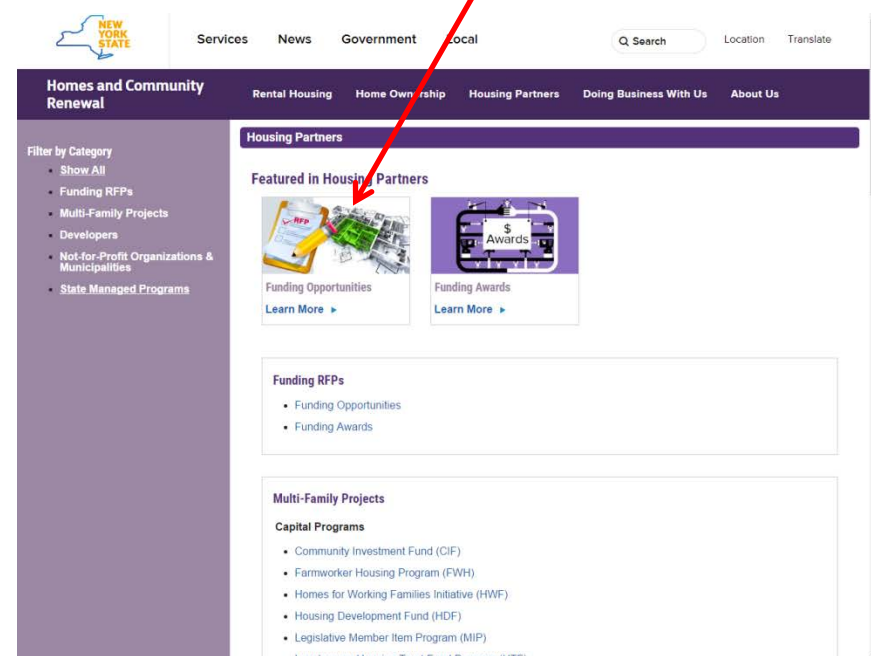
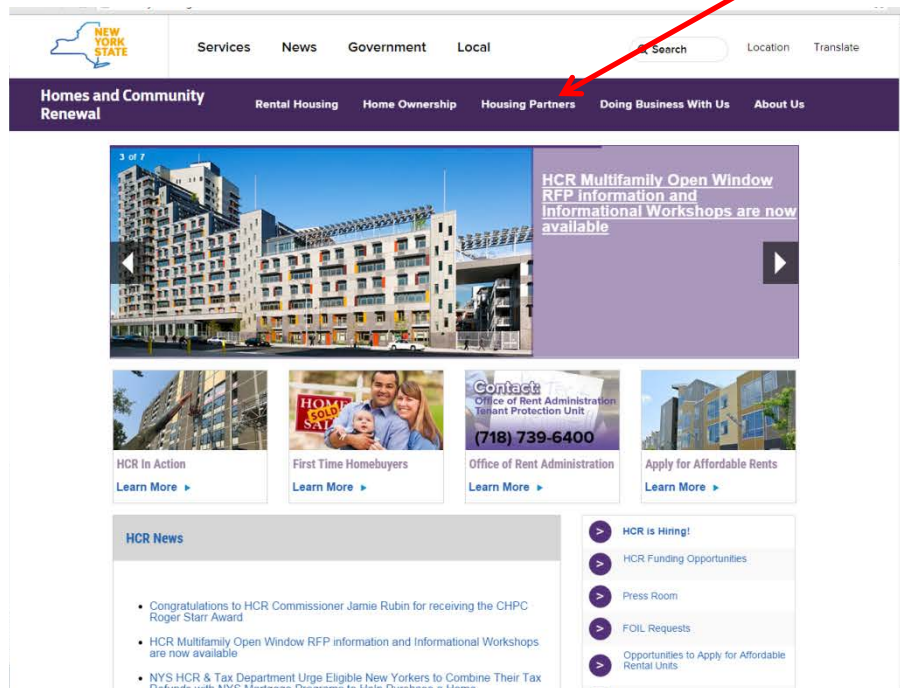
### Housing Activities

- Single Unit Housing Rehabilitation
- Multi-Unit (2-3 unit) Housing Rehabilitation
- Multi-Unit (4 or more units) Housing Rehabilitation
- Mobile Home Replacement
- Well and Septic Replacement
- Lateral Connection Assistance
- Homeownership

# CDBG Application Process

## Preparing to Apply

Go to <http://www.nyshcr.org/>, select Housing Partners, then Funding Opportunities



# CDBG Application Process

## Preparing to Apply

### Community Development Online

New York State Division of Housing and Community Renewal

EXIT | Menu » Exhibit List

Exhibit Quick Links:

CDBG HOUSING APPLICATION - TABLE OF CONTENTS

**WARNING: APPLICATIONS, IN THEIR ENTIRETY, MAY BE MADE AVAILABLE FOR PUBLIC REVIEW ON THE DHCR WEBSITE. APPLICATIONS SHOULD NOT INCLUDE PERSONAL OR PROPRIETARY INFORMATION.**

#### Exhibit List

Exhibit 1 - Program Summary	<a href="#">view</a>
1A. General Project Information	<a href="#">view</a>   <a href="#">edit</a>
1B. Applicant Information	<a href="#">view</a>   <a href="#">edit</a>
1C. Program Location	<a href="#">view</a>   <a href="#">edit</a>
1D. Political Districts	<a href="#">view</a>   <a href="#">edit</a>
Exhibit 2 - Needs Statement	<a href="#">view</a>
2A. Community Description	<a href="#">view</a>   <a href="#">edit</a>
2B. Community Development Needs Description	<a href="#">view</a>   <a href="#">edit</a>
Exhibit 3 - Proposal and Activity Detail	<a href="#">view</a>
3A. Program Abstract	<a href="#">view</a>   <a href="#">edit</a>
3B. Project/Program Description	<a href="#">view</a>   <a href="#">edit</a>
3C1. Housing Rehabilitation Proposal	<a href="#">view</a>   <a href="#">edit</a>

# CDBG Application Process

## Resources

- NYS CDBG Program Guidelines

<http://www.nyshcr.org/Programs/NYS-CDBG/>

- NYS CDBG 2016 Housing Application (coming soon)

<http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/CDBG-HousingApplicationInstructions.pdf>

- Office of Community Renewal

<http://www.nyshcr.org/AboutUs/Offices/CommunityRenewal/HousingResourcesFundingOpportunities.htm>

- Regional Economic Development Councils

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



# Scoring Criteria

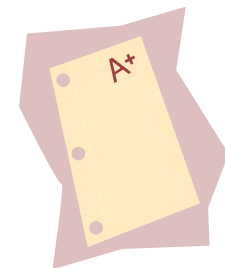


# CDBG Application Process

## Scoring Criteria

*Applications are competitively rated and scored against each other and receive Program Assessment Scoring based on the following factors:*

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



# Application Tips



# CDBG Application Process

## Application Tips

- Only eligible units of general local government may apply for CDBG assistance
- Subrecipients and businesses may not apply directly for NYS CDBG funds
- Read the application packet
- Document citizen participation
- Use the submission checklist
- Provide only related information



# CDBG Application Process

## Application Tips, continued

- Carefully proofread
- Follow the application outline
- Answer all questions
- Complete forms in their entirety
- Use the correct application type
- Provide detailed maps

# Common Deficiencies



# CDBG Application Process

## Common Deficiencies

Administrative capacity is not described, including staff roles and administrative procedures.

- Identify staff assigned to work on the proposed program, their specific roles, and any relevant training or experience that they have.
- Provide details related to the use of budgeted CDBG administrative funds.
- Identify additional sources of administrative funding for the program.
- Identify procedures in place to ensure timely implementation of the program.

# CDBG Application Process

## Common Deficiencies, continued

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, Facilities and Planning program requirements.

# CDBG Application Process

## Common Deficiencies, continued

Funding commitments provided are insufficient.

- Provide commitment letters for all sources of leveraged funds contributing to the project.
- For the 5% required match for planning, documentation must be presented that clearly states that the municipality will have the funds are committed and will be available at time of award.
- 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.

# CDBG Application Process

## Common Deficiencies, continued

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

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

# CDBG Application Process

## Common Deficiencies, continued

### Public hearing: failure to hold prior to application

- One public hearing is required prior to submission
- If only applying for planning or engineering, public hearing is still required
- Second public hearing will be held during the course of undertaking the project

# Further Program Guidance

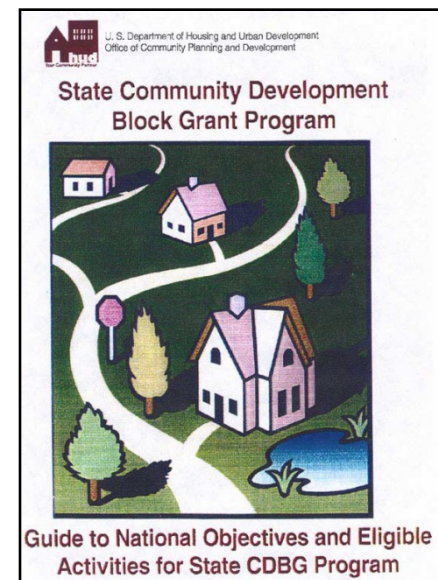


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# CDBG Application Process

## Additional Program Guidance

- 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](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/communitydevelopment/training/basicallycdbg)
- 2016 Income Limits, as of 3/28/2016  
<http://www.huduser.org/portal/datasets/il/il16/index.html>



# CDBG Application Process

## Additional Program Guidance

- Efforts to Affirmatively Further Fair Housing
- Identify, remediate environmental hazards(Lead based paint, asbestos, mold)
- Minority and Women-Owned Businesses (MWBE) <http://www.esd.ny.gov/MWBE.html>
- 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 questions, please contact  
NYS OCR at [ocrinfo@nyshcr.org](mailto:ocrinfo@nyshcr.org)

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Jason Purvis, Program Director for Economic Development  
[Jason.Purvis@nyshcr.org](mailto:Jason.Purvis@nyshcr.org)

The OCR Grant Administration Manual is available at  
<http://www.nyshcr.org/Programs/NYS-CDBG/GrantAdministration.htm>