

**Request for Proposals
(RFP):
CDBG Application**



Mayor Stephanie A. Miner

City of Syracuse
Department of Neighborhood & Business Development
Community Development Block Grant Application
Program Year 38 (2012-2013)

Paul Driscoll, Commissioner
233 E. Washington Street, Room 312
Syracuse, New York 13202



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Community Development Block Grant Introduction and Submission Directions

The City of Syracuse Department of Neighborhood and Business Development (NBD) receives and manages funds from the Department of Housing and Urban Development (HUD). These Community Development Block Grant (CDBG) funds are an annual entitlement to be used to benefit low and moderate income persons and areas. The overall purpose of the CDBG program is to create viable urban communities through providing low and moderate income persons and areas with decent housing, a suitable living environment and expanded economic opportunities. Although these funds are used primarily for those identified purposes, CDBG funds positively impact every neighborhood in the city.

NBD is requiring applicants to apply for funding to administer specific programs or services that fall under one of the three strategy areas. NBD is targeting this year's CDBG allocation primarily on housing development and related housing services. The three strategy areas include housing production, services for the housing vulnerable population, and services for the special needs populations. It is also important for applicants to certify as a Community Based Development Organization (CBDO) to obtain funding under certain strategy areas. The following pages describe each strategy in more detail.

Please submit one original complete proposal that includes a completed application, all necessary attachments and all supporting documentation and one digital copy (on a CD or USB drive). If an agency is requesting funding for more than one project, each project must have a separate and distinct application; however, only one proposal requires supporting documentation.

An applicant may apply for multiple programs that fall under multiple strategy areas, but must submit one application per program. If an application does not fall within one of the four strategy areas, the request for funding will not be considered. CDBG funding cannot replace local funding of activities benefiting low-income populations, but is meant to supplement that funding. The City of Syracuse will not reimburse costs involved in applying for CDBG funding and no activities can begin for proposed projects until after May 1st of the program year and an award letter or sub-grantee agreement is fully executed.

A complete proposal will include the following:

- A completed application (including all necessary attachments)
- Supporting documentation including:
 - Completed CBDO Checklist
 - Articles of Incorporation
 - IRS Determination Letter
 - Board of Directors list with addresses, appointment and term expiration dates, and the who each board member represents
 - Board minutes (last 3 meetings)
 - Board resolution authorizing submission of application
 - Board by-laws
 - Agency brochure or narrative outlining services available
 - Most current audit or financial statement including management letter

Submit completed proposals no later than **4:00 p.m. on October 14, 2011** to:

CDBG Proposal (Year 38)
Department of Neighborhood and Business Development
312 City Hall, 233 East Washington Street
Syracuse, New York 13202

**Find electronic versions of the application on our website at www.syracuse.ny.us.

Community Development Block Grant Application Award Process and Timeline

Tentative Schedule and Subject to Change

Thursday, September 15, 2011 – 10:00 a.m. 312 City Hall, 233 E. Washington St.	NBD distributes CDBG Year 38 applications (available online at www.syracuse.ny.us)
Friday, October 14, 2011 – 4:00 p.m.	Applications due to NBD
October - November, 2011	NBD and selection committees review applications and interview applicants as needed
November, 2011	Funding recommendations finalized by NBD
Thursday, November 17, 2011*	Draft Action Plan released for 30-day comment period
Tuesday, November 29, 2011* – 5:30 p.m. Common Council Chambers	NBD holds Public Meeting to obtain comments regarding the Draft Action Plan
Thursday, December 15, 2011* – 5:30 p.m. Common Council Chambers	Common Council holds Public Hearing on the Draft Action Plan
Saturday, December 17, 2011 – 4:00 p.m.	30-day comment period ends
Monday, December 19, 2011 – 1:00 p.m. Common Council Chambers	Common Council votes to approve submission of Action Plan to HUD
Friday, December 30, 2011	Action Plan submitted to HUD for 45-day review period
February - March, 2012	Receive approval and funding decisions from HUD
May 1, 2012	CDBG Year 38 (2012-2013) begins

* Meetings mandated by HUD statutory requirements.

Community Development Block Grant Strategy Area Descriptions | 2012 – 2013

Note: Please refer only to the eligible matrix codes listed under each strategy area. Matrix codes that are not listed are not eligible for funding. Please see Appendix D for definitions of eligible matrix codes.

1. **Strategy Area #1 – Housing Production:** Applicants will focus on housing rehabilitation activities that provide individuals and families with quality affordable housing. Applicants that provide these services in concentrated areas (neighborhood plans, block plans) will receive the highest priority for funding.

Applicants that provide the following services will be prioritized for funding under strategy area #1:

- Rehabilitation of privately owned, single-unit homes (14A)
- Rehabilitation of privately owned buildings with two or more permanent residential units (14B)
- Housing rehabilitation with the sole purpose of improving energy efficiency (14F)
- Acquisition of property to be rehabilitated for housing (14G)
- Direct monetary homeownership assistance to LMI households as authorized under 105(a)(24); assistance can include subsidizing interest rates and mortgage principal, paying up to 50 percent of down payment costs, paying reasonable closing costs, acquiring guarantees for mortgage financing from private lenders, and financing the acquisition by LMI households of the housing they already occupy (13)
- Rehabilitation administration and delivery costs associated with carrying out housing rehabilitation activities (14H)

If the applicant qualifies as a Community Based Development Organization, and operates in the proposed NRSA boundaries (see Appendix G) then it is eligible to apply to the following services:

- Non-monetary homeownership assistance including housing counseling for individuals going through a housing rehabilitation program that is provided by the applicant (05R)
- Housing counseling for renters, homeowners, and/or potential new homebuyers that is provided as an independent public service (05U)

2. **Strategy Area #2 – Services for the Housing Vulnerable Populations:** Applicants will provide supportive housing services to housing vulnerable individuals and households that help them secure and maintain their physical living environments. Housing vulnerable populations include tenants and homeowners under threat of foreclosure, water or utility shut offs, eviction or other factors that put them at risk of homelessness.

Applicants that provide the following services will be prioritized for funding under strategy area #2:

- Fair housing services that include counseling on housing discrimination (05J)
- Tenant relocation payments and services to assist approximately 400 households identified by the Department of Neighborhood and Business Development who currently live in unsafe living conditions (08)

3. **Strategy Area #3 – Services for Special Needs Populations:** Services that build or increase the educational and social capital and provide a continuum of support services for special needs populations including youth, elderly, those individuals and families affected by HIV/AIDS, immigrants, refugees, and

mentally and physically disabled persons. Applicants that administer programs and services out of existing neighborhood-based community centers will receive the highest priority for funding.

Applicants that provide the following services will be prioritized for funding under strategy area #3:

- Senior services for the elderly (05A)
- Services for the mentally and physically disabled persons, regardless of age (05B)
- Services for young people age 13 to 19 that can include educational and/or recreational services limited to teenagers and teen counseling programs (05D)
- Employment training to increase self-sufficiency, including literacy, independent living skills and job training (05H)

Please provide the appropriate back-up documentation for each item highlighted as appropriate evidence. The following agency documents are considered adequate sources of evidence: By laws, Articles of Incorporation, income verification forms, etc.

AGENCY: _____

REVIEWER: _____

CBDO Checklist

YES___ NO___ Evidence from: _____	Is the organization organized under state or local law to engage in community development activities in a specific geographic area within the community?
Comments:	
YES___ NO___ Evidence from: _____	Does the organization have as its primary purpose the improvement of the physical, social, economic environment of its service area by addressing one or more critical problems in the area with particular attention to the needs of LMI persons
Comments:	
YES___ NO___ Evidence from: _____	If a for-profit organization, the profits to shareholders or members are incidental to its operations
Comments:	
YES___ NO___ Evidence from: _____	The organizations governing body's membership consists of 51% LMI residents of its service area or owners or officers of entities located in the service area or representatives of LMI organizations in the service area
Comments:	
YES___ NO___ Evidence from: _____	The organization is not an agency or instrumentality of the grantee and no more than one-third of the board is elected or appointed public officials or employees of the grantee
Comments:	
YES___ NO___ Evidence from: _____	The organization's governing body is nominated by the general membership of the organization
Comments:	

Appendix B: Overall Program Goals and Outcomes

(Please fill out accompanying Excel spreadsheet)

Appendix C: CDBG Program Budget Form

(Please fill out accompanying Excel spreadsheet)

Appendix E: CDBG National Objective Codes

Matrix codes are used to indicate—but do not establish—activity eligibility. An activity must be eligible in accordance with the regulations at 570.201-570.207. Grantees need to refer to the regulations to determine an activity’s eligibility; the codes defined below are used in IDIS OnLine chiefly to categorize activities for reporting purposes.

Code	Definition
05A	Senior Services Services for the elderly. 05A may be used for an activity that serves both the elderly and the handicapped provided it is not intended primarily to serve persons with handicaps. If it is, use 05B instead.
05B	Handicapped Services Services for the handicapped, regardless of age.
05D	Youth Services Services for young people age 13 to 19 that include, for example, recreational services limited to teenagers and teen counseling programs. Also use 05D for counseling programs that target teens but include counseling for the family as well.
05H	Employment Training Assistance to increase self-sufficiency, including literacy, independent living skills, and job training.
05J	Fair Housing Activities (subject to Public Services cap) Fair housing services (e.g. counseling on housing discrimination) that meet a national objective.
05R	Homeownership Assistance (not direct) Homeowner downpayment assistance provided as a public service. If housing counseling is provided to those applying for downpayment assistance, the counseling is considered part of the 05R activity. Assistance provided under 05R must meet the low/mod housing national objective. Therefore, unless the assistance is provided by a CBDO in an NRSA, it is subject to the public service cap and only low/mod households may be assisted. If the assistance is provided by a CBDO in an NRSA, the housing units for which CDBG funds are obligated in a program year may be aggregated and treated as a single structure for purposes of meeting the housing national objective (that is, only 51% of the units must be occupied by LMI households).
05U	Housing Counseling Housing counseling for renters, homeowners, and/or potential new homebuyers that is provided as an independent public service (i.e., not as part of another eligible housing activity).
08	Relocation Relocation payments and other assistance for permanently or temporarily displaced individuals, families, businesses, non-profit organizations, and farms.

Appendix E: CDBG National Objective Codes

13	<p>Direct Homeownership Assistance</p> <p>Homeownership assistance to LMI households as authorized under 105(a)(24). Forms of assistance include subsidizing interest rates and mortgage principal, paying up to 50% of downpayment costs, paying reasonable closing costs, acquiring guarantees for mortgage financing from private lenders, and financing the acquisition by LMI households of the housing they already occupy.</p> <p>If housing counseling is provided to households receiving direct homeownership assistance, the counseling is considered part of the code 13 activity.</p> <p>All recipients of assistance provided under matrix code 13 must be LMI.</p>
14A	<p>Rehab: Single-Unit Residential</p> <p>Rehabilitation of privately-owned, single-unit homes.</p>
14B	<p>Rehab: Multi-Unit Residential</p> <p>Rehabilitation of privately-owned buildings with two or more permanent residential units.</p>
14F	<p>Rehab: Energy Efficiency Improvements</p> <p>Housing rehabilitation with the sole purpose of improving energy efficiency (e.g., a weatherization program).</p>
14G	<p>Rehab: Acquisition</p> <p>Acquisition of property to be rehabilitated for housing. 14G may be used whether CDBG funds will pay only for acquisition or for both acquisition and rehabilitation.</p>
14H	<p>Rehab: Administration</p> <p>All delivery costs (including staff, other direct costs, and service costs) directly related to carrying out housing rehabilitation activities. Examples include appraisal, architectural, engineering, and other professional services; preparation of work specifications and work write-ups; loan processing; survey, site, and utility plans; application processing; and other fees. Also use 14H for housing services related to the HOME Program, eligible under 570.201(k).</p> <p>Do not use 14H for the costs of actual rehabilitation and do not use it for costs unrelated to running a rehab program (e.g., tenant/landlord counseling).</p>

Appendix E: CDBG National Objective Codes

The national objective codes (NOCs) are listed below with descriptions and applicable CFR citations. The NOCs that may be used with each matrix code are identified in Appendix D.

NOC	Description	24 CFR Citation
LMA	<p>Low/mod area benefit</p> <p>Activities providing benefits that are available to all the residents of a particular area, at least 51% of whom are low/mod income. The service area of an LMA activity is identified by the grantee, and need not coincide with Census tracts or other officially recognized boundaries.</p>	570.208(a)(1)
LMAFI	<p>Low/mod area benefit, community development financial institution (CDFI)</p> <p>Job creation and retention activities that are carried out by a CDFI and that the grantee elects to consider as meeting the low/mod area benefit criteria.</p>	570.208(d)(6)(i)
LMASA	<p>Low/mod area benefit, neighborhood revitalization strategy area (NRSA)</p> <p>Job creation and retention activities that are carried out pursuant to a HUD-approved Neighborhood Revitalization Strategy (NRS) and that the grantee elects to consider as meeting the low/mod area benefit criteria.</p>	570.208(d)(5)(i)
LMC	<p>Low/mod limited clientele benefit</p> <p>Activities that benefit a limited clientele, at least 51% of whom are low/mod income. LMC activities provide benefits to a specific group of persons rather than to all the residents of a particular area.</p>	570.208(a)(2)
LMCMC	<p>Low/mod limited clientele, micro-enterprises</p> <p>Activities carried out under 24 CFR 570.201(o) that benefit micro-enterprise owners/developers who are low/mod income.</p>	570.208(a)(2)(iii)
LMCSV	<p>Low/mod limited clientele, job service benefit</p> <p>Activities that provide job training, placement and/or employment support services in which the percentage of low/mod persons assisted is less than 51%, but the proportion of the total cost paid by CDBG does not exceed the proportion of the total number of persons assisted who are low/mod.</p>	570.208(a)(2)(iv)
LMH	<p>Low/mod housing benefit</p> <p>Activities undertaken to provide or improve permanent residential structures that will be occupied by low/mod income households.</p>	570.208(a)(3)

Appendix E: CDBG National Objective Codes

NOC	Description	24 CFR Citation
LMHSP	Low/mod housing benefit, CDFI or NRSA Activities carried out by a CDFI or pursuant to a HUD-approved Neighborhood Revitalization Strategy (NRS) to provide or improve permanent residential structures which the grantee elects to consider as a single structure for purposes of determining national objective compliance. For example, two single-unit homes rehabilitated in an NRS may be considered a single structure; at least one of the units must be occupied by a low/mod household. If ten single-unit homes were assisted, at least six (51%) must be occupied by low/mod households.	570.208(d)(5)(ii) and (d)(6)(ii)
LMJ	Low/mod job creation and retention Activities undertaken to create or retain permanent jobs, at least 51% of which will be made available to or held by low/mod persons.	570.208(a)(4)
LMJFI	Low/mod job creation and retention, public facility/ improvement benefit Public facility/improvement activities that are undertaken principally for the benefit of one or more businesses and that result in the creation/retention of jobs.	570.208(a)(4)(vi) (F)
LMJP	Low/mod job creation, location-based Activities where a job is held by or made available to a low/mod person based on the location of the person's residence or the location of the assisted business.	570.208(a)(4)(iv)
SBA	Slum/blight area benefit Activities undertaken to prevent or eliminate slums or blight in a designated area.	570.208(b)(1)
SBR	Slum/blight, urban renewal areas Activities authorized under an Urban Renewal Loan and Grant Agreement that are undertaken to prevent or eliminate slums or blight in an urban renewal area and that are necessary to complete an Urban Renewal Plan.	570.208(b)(3)
SBS	Slum/blight, spot basis Activities undertaken on a spot basis to address conditions of blight or physical decay not located in designated slum/blight areas.	570.208(b)(2)
URG	Urgent need Activities that alleviate emergency conditions of recent origin which pose a serious and immediate threat to the health or welfare of the community; eligible only if the grantee cannot finance the activity on its own and no other sources of funding are available.	570.208(c)

CDBG Guidelines

****Please note: While this attachment provides information on the overall CDBG regulations, the Department of Neighborhood and Business Development will only entertain proposals that fit within one of the four strategy areas identified.**

Appendix F: CDBG Guidelines

I. CDBG PROGRAM YEAR

City of Syracuse CDBG Program Year is May 1st - April 30th. Although the start of the year is May 1st, it is not unusual for HUD to release the entitlement funds between, the beginning of July through September. **Note: In light of the delayed funding, it is suggested that funded agencies may want to establish a line of credit with their local bank or adopt another financial contingency once HUD approves the Consolidated Plan.**

II. CDBG RESOURCES

Please find all necessary information on eligible and ineligible activities, project requirements and the full CDBG regulations at the following link:

http://www.access.gpo.gov/nara/cfr/waisidx_05/24cfr570_05.html

IV. ADDITIONAL RESOURCES

A. Income Guidelines Definitions:

0% of Median (Extremely Low Income) – defined as an income targeting standard in the 1998 Act Amendments to the Housing Act of 1937; to avoid inconsistencies with other income limits, it is defined as 60% of the four-person family very low-income limit, adjusted for family size, but not allowed to fall below the State Supplemental Security Income (SSI) benefit level for one-person households.

Very Low-Income – defined as 50% of the median family income for the area, subject to specified adjustments for areas with unusually high or low incomes. Very low-income limits are calculated using a set of formula relationships - calculating very low-income limits is to calculate what they would be if the four-person limit is based on 50% of the estimated area median family income.

Low-Income – defined as 80% of the median family income for the area, subject to adjustments for areas with unusually high or low incomes or housing costs.

Income limits are adjusted for family size so that larger families have higher income limits and lower income limits for smaller families.

B. The FY 2011 HUD Section 8 Income Guidelines are as follows:

FY 2011 INCOME LIMITS
Syracuse, New York

	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
Extremely Low (30%) Income Limits	\$13,800	\$15,800	\$17,750	\$19,700	\$21,300	\$22,900	\$24,450	\$26,050
Very Low (50%) Income Limits	\$23,000	\$26,300	\$29,600	\$32,850	\$35,500	\$38,150	\$40,750	\$43,400
Low-Income (80%) Income Limits	\$36,800	\$42,050	\$47,300	\$52,550	\$56,800	\$61,000	\$65,200	\$60,400

FY 2011 Syracuse, NY MSA Median Income \$65,700

*Each March the Median Income Limits are updated by HUD

Appendix F: CDBG Guidelines

C. Internet Resources:

City of Syracuse 2011-2012 CDBG Action Plan (Substantial Amendment)

http://www.syracuse.ny.us/uploadedFiles/Departments/Neighborhood_and_Business_Development/Final%20Con%20Plan%20-%20HUD%20Submission_Substantial%20Amendment.pdf

City of Syracuse 2010 Housing Plan

http://www.syracuse.ny.us/syracuse_housing_plan_2010.aspx

Consolidated Plan Regulations:

http://www.hud.gov/offices/cpd/about/conplan/pdf/finalrule_bookview.pdf

CDBG Desk Guide:

<http://www.hud.gov:80/offices/cpd/communitydevelopment/library/deskguid.cfm>

Income Limits:

<http://www.huduser.org/datasets/il.html>

OMB Circulars:

<http://www.whitehouse.gov/omb/circulars/index.html>

US Census Bureau:

<http://www.census.gov/>

V. THE REGULATIONS

CDBG applicable rules and regulations: CDBG regulations (CFR, Part 24), OMB Circulars A-87 (governments) and A-122 (non-profits) and HUD Guidance Notices and various reporting requirements. If you need a copy of these regulations, circulars, reporting requirements, etc., please request copies from the City's Department of Neighborhood and Business Development, Commissioner's Office, City Hall, 233 E Washington Street, Room 312, Syracuse, New York 13202.

The following are related Act, OMB Circulars and regulations that must be complied with when using CDBG funds.

FEDERAL ACT - Title I of the Housing and Community Development Act of 1974, as amended through 10/29/92.

FEDERAL REGULATIONS - CFR Title 24

- Part 42 – Displacement, Relocation Assistance and Real Property Acquisition for HUD and HUD-Assisted Programs
- Part 58 – Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities
- Part 84 – Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations
- Part 85 - Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments.
- Part 91 – Consolidated Submissions for Community Planning and Development Programs
- Part 570 - Community Development Block Grants
 - Sub Part A - General Provisions
 - Sub Part C - Eligible Activities
 - Sub Part D - Entitlement Grants
 - Sub Part J - Grant Administration
 - Sub Part K - Other Program Requirements
 - Sub Part O - Performance Reviews

OMB CIRCULARS

- A-21, Cost Principles for Educational Institutions
- A-122, Cost Principles for Nonprofit Organizations
- A-102, Grants and Cooperative Agreements with State and Local Governments
- A-110, Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-profit organizations - Uniform Administrative Requirements.
- A-133, Audits of States, Local Governments, and Non-Profit Organizations
- A-87, Cost Principles for State and Local Governments

Appendix F: CDBG Guidelines

OMB Circular for Government Sub-recipients

OTHER RELATED REGULATIONS

Disclosure Requirements - (C.F.R., Part 12 "Accountability in the Provision of HUD Assistance") Any applicant applying for Federal assistance from HUD for a specific project or activity or that is distributing HUD assistance must disclose certain information if you have allocated/received or can reasonably expect to receive in excess of \$200,000 in aggregate, from Federal, State, or local CDBG funds during the Federal Fiscal Year.

Labor Standards Provisions (Davis-Bacon) - Construction projects receiving \$2,000 in CDBG (Federal) funds will be required to comply with prevailing wage requirements.

Housing Displacement/Relocation – (49 CFR 24 – Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs) If your project involves dislocating or relocating people or businesses, there are additional regulations so do contact our office for more information.

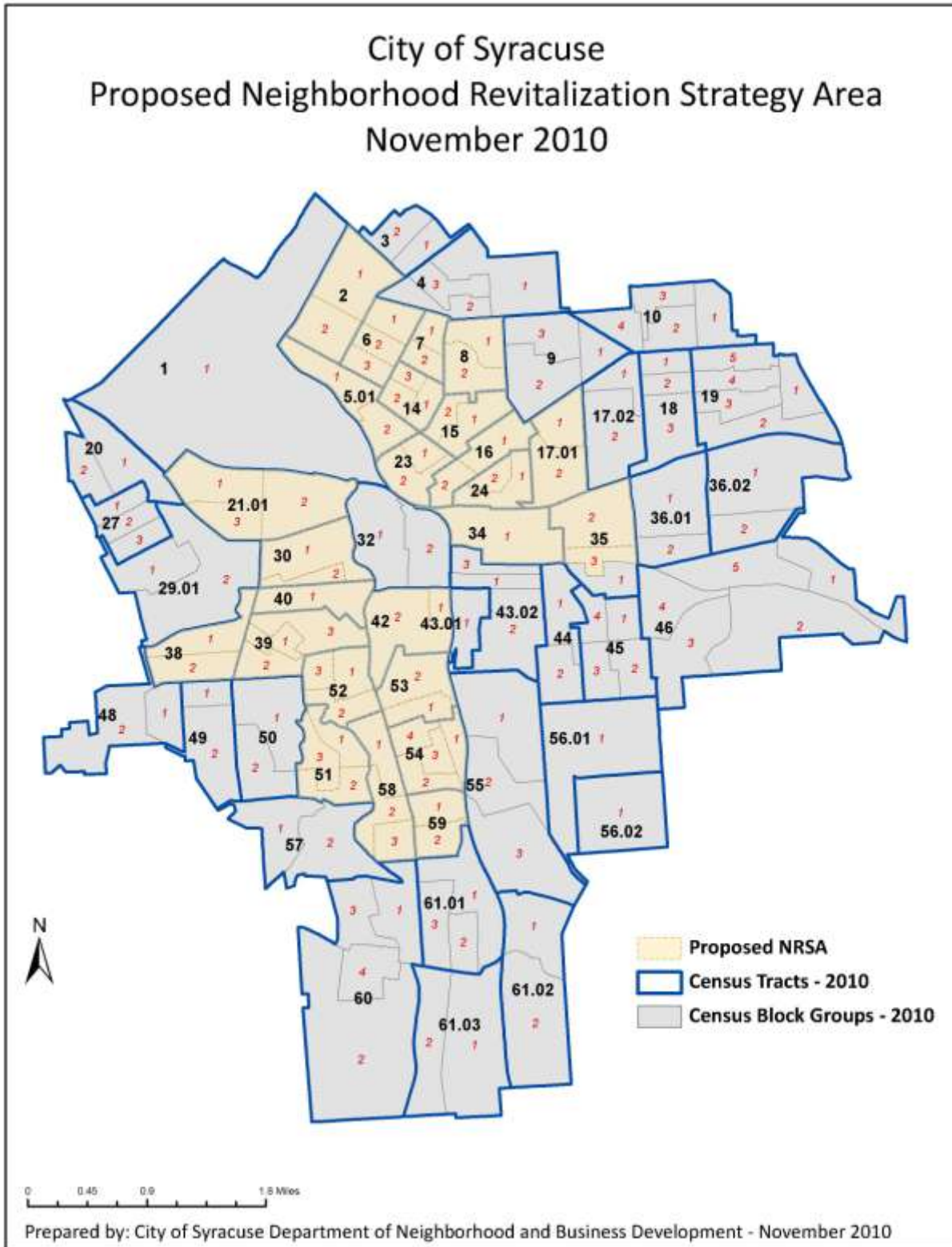
Other Program Requirements (570.600)

- 1) **Fair Housing** - Receipt of CDBG funds also requires compliance with Public Law 88-352 and Public Law 90-284 by Sub-Grantee to affirmatively further fair housing.
- 2) (570.607) **Employment & Contracting Opportunities** – requires compliance with Exec. Order 11246 as amended, Equal Employment Opportunities and Public Law 102-550 Sec. 3 Economic Opportunities for Low Income and Very Low Income Persons. (570.608)
- 3) **Lead Based Paint** – requires compliance with Public Law 91-695 Lead Based Paint Poisoning Prevention Act and Public Law 102-550 Title X – Residential Lead Based Paint Hazard Reduction Act of 1992. Particular attention should be paid to these sections: HUD Regulations 24 CFR 35.80 - 35.98, the EPA Regulations 40 CFR 745.100 - 745.119, and the OSHA Regulation 29 CFR 1926.62.
- 4) Public Law 88-352 refers to **Title VI of the Civil Rights Act of 1964** which provides that no person in the United States shall on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.
- 5) Public Law 90-284, as amended, refers to **Title VIII of the Civil Rights Act of 1968**, popularly known as the **Fair Housing Act**, which provides that it is the policy of the United States to provide, within constitutional limitations, for fair housing throughout the United States and prohibits any persons from discriminating in the sale or rental of housing, the financing of housing, or the provision of brokerage services, including otherwise making unavailable or denying a dwelling to a person, because of race, color, religion, sex, or national origin.
- 6) ADA Compliance - Projects receiving CDBG funding involving building or public facilities improvements must include accessibility and comply with the Americans with Disabilities Act Guidelines (ADAG).

Building Permits & Historic Preservation – (Sections 110 (K) and 106 of the National Historic Preservation Act). All projects involving construction and rehabilitation must be reviewed by the New York State Office of Parks, Recreation and Historic Preservation (SHPO) which conducts reviews pursuant to the Advisory Council on Historic Preservation regulations 36 CFR 800.4(d) (1). All agencies undertaking this type of work with Federal funds must pull the proper building permits and have a SHPO clearance letter before funds can be dispersed. Community Development staff provides technical assistance for this process.

General Ordinance No. 25 2005 – Syracuse Living Wage Ordinance – Does not apply to not-for-profits funded through Community Development Block Grant funds.

Appendix G: Proposed NRSA Boundaries



CITY OF SYRACUSE, NEW YORK
DEPARTMENT OF NEIGHBORHOOD AND BUSINESS DEVELOPMENT
2012-2013 CDBG/ESG Funding Application

Please complete one application per program and/or service. Do not combine funding requests.

1. General Applicant Information	
Strategy Area Applicant is seeking funding under (check one):	
<input type="checkbox"/> Housing Production <input type="checkbox"/> Services for the Housing Vulnerable Populations <input type="checkbox"/> Services for Special Needs Populations	
Applicant(s)/Organization (Lead Applicant)	
Agency Name:	
If applying on behalf of another entity, name of that entity: (Applicant does not have 501(c)(3) status)	
Sponsoring Agency:	
Program Name:	
<input type="checkbox"/> New program (never before funded) <input type="checkbox"/> On-going (previously funded)	
Proposal Request	
Community Development Block Grant (CDBG) Amount: \$	
Other Funding Sources Amount: \$	
Total Project Budget: \$	
Program Location	
Chief official of lead applicant	
Name	
Title	
Mailing Address	
City, State & Zip	
Phone	Fax
Tax ID#	
Designated contact person for this application	
Name	
Title	
Mailing address	
City, State & Zip	
Phone	Fax
Email address	
Please provide the following supporting documentation with application:	
<input type="checkbox"/> Completed CBDO Checklist (if applying for designation) <input type="checkbox"/> Articles of Incorporation <input type="checkbox"/> IRS Determination Letter <input type="checkbox"/> Board of Directors list with addresses, appointment/term expiration dates, whom each Board member represents & income information if applying for CBDO designation <input type="checkbox"/> Board minutes (last 3 meetings)	<input type="checkbox"/> Board Resolution authorizing submission of application <input type="checkbox"/> Board By-Laws <input type="checkbox"/> Agency brochure or narrative outlining services available <input type="checkbox"/> Most current audit or financial statement available and Management Letter

2. Narrative

- a. Provide a detailed description of the specific program or service to be funded by CDBG. Make sure all statistics and other information provided is properly referenced. Please include information on:
 - i. The strategy area the program or service falls under and how your program or service will meet the goals outlined above (i.e. Housing Production, Services for Housing Vulnerable Populations, Services for Special Needs Populations, or Economic Development within Neighborhood Business Corridors)
 - ii. The CDBG national objective the proposed program or service will meet (see Attachment E for more information)
 - iii. The need or problem this program or service is addressing
 - iv. How the program or service will address the need
 - v. The target population and/or the target geographic area (by census tract) to be served by the program or service
 - vi. The service delivery model and how the program will be implemented including application or intake process, marketing, other decision making, etc.
 - vii. Program or service time table including the estimated start date and end date, or if multi-year program describe the timeline
- b. If the program or service will be implemented through a collaborative partnership please describe each partner involved and their specific role in the program implementation.

3. Overall Program Goals and Outcomes

- a. Complete the Goals and Outcomes form provided in Appendix B. The intent of this form is to provide information on the general program goals and desired outcomes.

4. Budget

- a. Complete the CDBG Program or Service Budget form found in Appendix C. The intent of the form is to provide information on the cost to administer the entire program. Please include information on both the hard and soft costs. Make sure the items that propose to be covered by CDBG are eligible CDBG activities and they meet the objectives set forth in the strategy area. Both hard and soft costs should be accompanied by a CDBG Matrix Code. Information on eligible and ineligible activities and information regarding the CDBG Matrix Code can be found in Appendix D)

5. Agency History & Capacity

- a. Provide a brief description of the agency's history.
- b. Describe the organization's current capacity and qualifications in carrying out the proposed activity.
 - i. Include organizational chart
 - ii. Job descriptions for those employees involved in administering the specific programs
 - iii. Staff resumes for employees involved in administering the specific programs
- c. Describe your organization's administrative systems. Does your organization have the following in place (check what applies)

- i. Conflict of Interest Policies _____
 - ii. Financial System _____
 - iii. Formal written personnel system with policies and procedures _____ Date of last revision: _____
 - iv. Insurance Coverage _____ Amount of coverage: _____
 - v. Procurement system with written policies and procedures _____ Date of last revision: _____
 - vi. Record keeping system _____
 - vii. Formal programmatic policies and procedures _____ Date of last revision: _____
- d. Describe how your organization will address any gaps in its administrative services.
- e. Does your organization, if funded, require and/or want technical assistance from the Department of Neighborhood and Business Development? If yes, explain the assistance requested.

6. Signature Section

TO THE BEST OF MY KNOWLEDGE AND BELIEF, THE STATEMENTS AND DATA IN THIS APPLICATION ARE TRUE AND CORRECT AND ITS SUBMISSION HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT. WITH THIS SUBMISSION, THE AGENCY ALSO AGREES TO FOLLOW ALL RULES AND REGULATIONS GOVERNING FEDERAL (CDBG) FUNDING.

Signature (Authorized Official)

Name/Title (Typed or Printed)

Date

**Request for Proposals
(RFP):
ESG Application**



Mayor Stephanie A. Miner

**City of Syracuse
Department of Neighborhood & Business Development
Program Year 38
Application
For
Emergency Shelter Grant Funds**

Paul Driscoll, Commissioner
233 E. Washington Street, Room 312
Syracuse, New York 13202



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ESG Budget & Program Goals	Separate Excel Document (Be Sure to Include in Application Submission)

City of Syracuse
2011 - 2012 EMERGENCY SHELTER GRANT
NOTICE OF FUNDS AVAILABILITY
And
REQUEST FOR PROPOSALS

The City of Syracuse Department of Neighborhood and Business Develop (NBD) expects the availability of funds for local projects in Year 38 (2012-2013) under the Emergency Shelter Grant Program. The Homeless Emergency and Rapid Transition to Housing (HEARTH) Act of 2009 implements several changes in anticipation of the Emergency Shelter Grant becoming the Emergency Solutions Grants. Although the acronym ESG remains the same, the focus of the new ESG will be the provision of services that aid in the prevention of homelessness and the rapid rehousing of individuals and families once they become homeless.

NBD's priorities also include the prevention of homelessness and the rapid rehousing of families and individuals who are housing vulnerable. Community Development Block Grant (CDBG) funds are now aligned with ESG priorities to develop a comprehensive delivery of services.

ESG funding now include the provision of the following services:

- Rapid rehousing-relocation services, financial assistance
- Stabilization Services-credit repair, tenant/landlord mediation, legal services, counseling and case management
- Shelter/Transitional-increase the quality of shelters and the availability of supportive housing supports to decrease long-term shelter stays

Funds are available to non-profit agencies who are tax exempt under the 501(c) 3 provision of the Internal Revenue Code.

Additional changes to The HEARTH Act includes:

- A consolidation of HUD's competitive grant programs;
- The creation of a Rural Housing Stability Program;
- A change in HUD's definition of homelessness and chronic homelessness;
- A simplified match requirement;
- An increase in prevention resources; and,
- An increase in the emphasis on performance.

Applicants who are awarded ESG funds must participate in the Syracuse/Onondaga County Continuum of Care (CoC) and utilize the Homeless Management Information System (HMIS).

Applicants are strongly urged to read the amended and reauthorized McKinney-Vento Act at <http://www.hudhre.info/documents/HomelessAssistanceActAmendedbyHEARTH.pdf>

Information about the Homeless Assistance and Rapid Transition to Housing Act (HEARTH) is available at <http://www.hudhre.info/hearth/>

ESG Application Award Process
Tentative Schedule and Subject to Change

Thursday, September 15, 2011 10:00 am Room 312, City Hall 233 E. Washington St.	ESG Applications available for distribution (available at www.syracuse.ny.us)
Friday, October 14, 2011 – 4:00 PM	Applications due to Department of Neighborhood and Business Development
October – November, 2011	Selection Committee to review applications and interview of select applicants as needed.
November, 2011	Funding Recommendations Finalized
Thursday, November 17, 2011*	Draft Action Plan released for 30-day comment period.
Tuesday, November 29, 2011* - 5:30 p.m. Common Council Chambers	NBD holds public meeting to obtain comments regarding the Draft Action Plan
Thursday, December 15, 2011* - 5:30 p.m. Common Council Chambers	Common Council holds Public Hearing on the Draft Action Plan
Saturday, December 17, 2011 – 4:00 pm	30-day comment period ends
Monday, December 19, 2011 – 1:00 pm Common Council Chambers	Common Council votes to approve submission of Action Plan to HUD
Friday, December 30, 2011	Action Plan submitted to HUD, begins 45-day review period
May 1, 2011	ESG Year 38 (2012 – 2013) begins

* Required by HUD statutory requirements.

Emergency Shelter Grant (ESG) Program Eligible Activities

**Rehabilitation
Essential Services
Operational Costs
Homeless Prevention Activities**

1. Emergency Shelter Renovation, Rehabilitation or Conversion – (24 CFR 576.63)

The quality and quantity of emergency shelters and transitional housing may be increased with ESG funds through conversion or major rehabilitation or renovation of existing buildings.

- (a) In general, assistance provided under this title may be used for the following activities relating to emergency shelter for homeless individuals:
 - 1. The renovation, major rehabilitation or conversion of buildings to be used as emergency shelters.
 - 2. Applicable period – 3-10 years depending upon use – Renovation: continue use as shelter for 3 years
Major Rehab/Conversion: continue use as a shelter for 10 years
- (b) Ineligible Emergency Shelter Renovation, Rehabilitation or Conversion Activities include:
 - 1. Acquisition of real property
 - 2. New Construction
 - 3. Property Clearance or demolition
 - 4. Rehabilitation administration
 - 5. Staff training or fund raising activities associated with rehabilitation
 - 6. Building maintenance and repairs
- (c) Davis-Bacon requirements do not apply to ESG funded renovation, major rehabilitation or conversion activities.

2. Essential Services – (24 CFR 576.3)

ESG funds can be used to provide essential services to address the needs of homeless persons living on the street, in emergency shelter or in transitional housing. Essential services can address the immediate needs of the homeless, and can help enable homeless persons become more independent and to secure permanent housing.

Only 30% of the total funds received by the local government can be spent on essential services and is restricted to funding new services or a quantifiable increase in services above the level previously funded.

New Service or Quantifiable Increase in Service- ESG funds can be used by grantees or their recipients for a new service or a quantifiable increase in the level of service above that provided during the immediately previous 12-month period. This provision in the legislation prohibits using

ESG funds to replace existing government or non-profit funding of services. However, once a new or increased level of service meets the above standards, then ESG funds may be used to continue funding that service in subsequent years.

(a) Includes services concerned with employment, health, drug abuse, and education and may include (but are not limited to):

1. Assistance in obtaining counseling and supervision
2. Medical and psychological counseling and supervision
3. Employment counseling
4. Nutritional counseling
5. Substance abuse treatment and counseling
6. Assistance in obtaining other Federal, State and local assistance
7. Other services such as child care, transportation, job placement and job training; and
8. Staff salaries necessary to provide the above services.

(b) Ineligible essential services costs include:

1. Existing services and staff (services must be new or provided to more persons)
2. Salary of case management supervisor when not working directly on participant issues
3. Advocacy, planning, and organizational capacity building
4. Staff recruitment/training
5. Transportation costs not directly associated with service delivery

3. Operational Costs – (24 CFR 576.21 (a)(3))

Staff salaries (including fringe benefits) paid under operating costs are limited to 10% of the grant. Maintenance and security salary costs are not subject to the 10%.

(a) Includes maintenance, operation, insurance, utilities and furnishings,

(b) Operating costs means expenses incurred by a recipient operating a facility assisted under this title with respect to –

1. the administration, maintenance, repair and security of such housing
2. utilities, fuels, furnishings and equipment for such housing
3. payment for shelter maintenance, operation, rent, repairs, insurance, food and furnishings

(c) Ineligible operating or maintenance costs include:

1. Recruitment or on-going training of staff
2. Depreciation
3. Costs associated with the organization rather than the supportive housing project (advertisements, pamphlets about organization, surveys, etc.)
4. Staff training, entertainment, conferences or retreats
5. Public relations or fund raising
6. Bad debts/late fees
7. Mortgage payments

4. Homeless Prevention Activities – (24 CFR 576.3)

The legislation and the regulations specify a broad array of financial assistance and supportive services that may be provided to help prevent persons from becoming homeless.

Not more than 30% of the amount of all assistance to a local government may be used for activities under this category.

- (a) Efforts to prevent homelessness such as financial assistance to families who have received eviction notices or notices of termination of utility services if –
 - 1. the inability of the family to make the required payments is due to a sudden reduction in income
 - 2. the assistance is necessary to avoid the eviction or termination of services
 - 3. there is a reasonable prospect that the family will be able to resume payments within a reasonable period of time
 - 4. the assistance will not supplant funding for pre-existing homelessness prevention activities from other sources

- (b) Homeless prevention means activities or programs designed to prevent the incidence of homelessness, including (but not limited to):
 - 1. Short-term subsidies to defray rent and utility arrearages for families that have received eviction or utility termination notices
 - 2. Security deposits or first month's rent to permit a homeless family to move into its own apartment
 - 3. Mediation programs for landlord-tenant disputes
 - 4. Legal services programs for the representation of indigent tenants in eviction proceedings
 - 5. Payments to prevent foreclosure on a home
 - 6. Other innovative programs and activities designed to prevent the incidence of homelessness

- (c) Ineligible homeless prevention costs include:
 - 1. Housing/services to homeless persons
 - 2. Direct payments to individuals
 - 3. Long-term assistance beyond several months
 - 4. Application for Federal funds or Un-programmed funds

Other Federal Requirements

- Non-discrimination and Equal Opportunity;
- Lead-based Paint;
- Property Management Standards;
- Relocation and Displacement;
- Conflict of Interest;
- Environmental Review and Compliance; and
- Limits on Funding to Primarily Religious Organizations.

Limitations-Primarily Religious Organizations 24 CFR 576.23

a. Provision of assistance.

1. Assistance may be provided under this part to a grantee or recipient that is a primarily religious organization if the primarily religious organization agrees to provide all eligible activities under this program in a manner that is free from religious influences and in accordance with the following principles:

- i. It will not discriminate against any employee or applicant for employment on the basis of religion and will not limit employment or give preference in employment to persons on the basis of religion;
- ii. It will not discriminate against any person applying for shelter or any of the eligible activities under this part on the basis of religion and will not limit such housing or other eligible activities or give preference to persons on the basis of religion; and
- iii. It will provide no religious instruction or counseling, conduct no religious services or worship (not including voluntary nondenominational prayer before meetings), engage in no religious proselytizing, and exert no other religious influence in the provision of shelter and other eligible activities under this part.

Required Funding Match

HUD regulations require that all agencies receiving funding must provide HUD with the details on the match – including the specific sources and amounts. If you are funded by the City of Syracuse Department of Neighborhood and Business Development you will be required to document the funding match prior to entering into a contract with the Department.

General Ordinance No. 25 2005 – Syracuse Living Wage Ordinance – Does not apply to not-for-profits funded through Emergency Shelter Grant funds.

Submission Directions

ESG APPLICATION FORMS - WHAT TO SUBMIT

Please submit one **original complete proposal (application and budget-program goal form) with all supporting attachments and one electronic version of application and budget-program goals form.** If an agency is requesting funding for more than one project, each project must have a separate and distinct application; however, only one proposal requires supporting documentation.

- **Electronic versions of these documents are available at www.syracuse.ny.us. Questions regarding application submission should contact the Office of Neighborhood and Business Development at 315.448.8100.**

A complete proposal will include the following:

- a. A completed application (**starting on page 10 of this document. Please do not include these guidelines with the application.**)
- b. Required Attachments
- c. Non-profits are also asked to attach 501 (C) 3 Documentation, Board By-laws, a Board of Directors list, copies of Executive Director's Report for the last 3 months, copies of approved Board minutes for the last 3 months (or last three meetings) and any narrative marketing material used by your organization.
- d. A Board Resolution authoring the submission of an application.

Submit completed proposals, no later than 4:00 p.m. on Friday, October 14th, 2011 to:

Hardcopy -

ESG Proposal
Department of Neighborhood and Business Development
233 E. Washington Street Rm 312
Syracuse, New York 13202

Electronic Copy – nbdc@ci.syracuse.ny.us

Disclaimer – The attached information is to be used only as a guide for completing the application and is not the final rule of determination for funding approval. The information contained herein is subject to change without prior notice.

CITY OF SYRACUSE, NEW YORK
DEPARTMENT OF NEIGHBORHOOD AND BUSINESS DEVELOPMENT
2012-2013 Emergency Shelter Grant Funding Application

Complete one application per program and/or service - Do not combine funding requests.			
1. General Applicant Information			
Applicant(s)/Organization (Lead Applicant)			
Agency Name:			
If applying "on behalf" of another entity, name of that entity: (Applicant does not have 501©(3) status)			
Sponsoring Agency:			
Project Name:			
		<input type="checkbox"/> New project (never before funded)	<input type="checkbox"/> On-going (previously funded)
Proposal Request			
		Emergency Shelter Grant (ESG) Amount: \$	
		Other Funding Sources Amount: \$	
		Total Project Budget: \$	
Activity Type			
a) Renovation, rehabilitation, conversion	Amount Requested \$		
Will the cost exceed 75% of the value of the building before renovation?		<input type="checkbox"/> yes	<input type="checkbox"/> no
If your proposal provides for the renovation, major rehabilitation or conversion of a building for use as emergency shelter or service center at a site where no such shelter or center now exists, you must provide evidence of neighborhood and Council Member support for your project. You must also provide verification that the area is properly zoned for your project. You will need to obtain Common Council approval for a Special Use Permit, if your project is selected and funded.			
b) Essential Services	Amount Requested \$		
c) Maintenance and Operations	Amount Requested \$		
d) Homelessness Prevention	Amount Requested \$		
TOTAL FUNDING REQUEST \$			
Address of project (site location)			
(Is this Shelter or Service Site address confidential information?)		<input type="checkbox"/> yes	<input type="checkbox"/> no
If site is leased, date entered into current lease:		Term of Lease:	
Chief official of "lead" applicant			
Name			
Title			
Mailing Address			
City, State & Zip			
Phone		Fax	
Tax ID#			
Designated contact person for this application			
Name			
Title			
Mailing address			
City, State & Zip			
Phone		Fax	
Email address			

Please provide the following supporting documentation with application:

<input type="checkbox"/> Articles of Incorporation	<input type="checkbox"/> Board Resolution authorizing submission of application
<input type="checkbox"/> IRS Determination Letter	<input type="checkbox"/> Board By-Laws
<input type="checkbox"/> Board of Directors list with addresses, appointment/term expiration dates, and whom each Board member represents	<input type="checkbox"/> Agency brochure or narrative outlining services available
<input type="checkbox"/> Board minutes (last 3 meetings)	<input type="checkbox"/> Most current audit or financial statement available and Management Letter

2. Narrative – (include response on a separate document)

- a. Provide a detailed description of the specific program or service to be funded by ESG. Please include information on:
 - i. The rationale for the project. What are the major results sought by the project? What local plans/objectives/needs met? (i.e. Continuum of Care application) Why is this project needed? What community need is being met or mitigated? What problem(s) are you attempting to address by requesting funds for this project?
 - ii. The need or problem this program or service is addressing
 - iii. How the program or service will address the need
 - iv. The target population and/or target geographic area (by census tract) to be served by the program or service
 - v. The service delivery model and how the program will be implemented including staffing, volunteers, subcontracts, intake process, marketing/outreach, other decision making, etc.
 - vi. Justification for continued funding (if previously funded). Describe how program service continues to meet need and/or has evolved to identify and address new needs

3. Budget (PROVIDE INFORMATION ON BUDGET FORM ATTACHMENT)

- a. Complete the ESG Program/Service Budget form. The intent of the form is to provide information on the cost to run the entire program. Please include all the sources of funding either received or pending. Identify the specific uses the money received will go towards the delivery of the proposed program/service

4. Beneficiaries and Project Services (SUBMIT PAGE WITH APPLICATION)

Please indicate the type of projects/services proposed by indicating the proposed number of individuals to be assisted in each category. The intent of the table is to provide a detailed breakdown of the specific uses the ESG funding request. Be sure the uses are eligible ESG activities.

Project/Service		Residential Services		Non-residential Services	
		# Adults Served Daily	# Children Served Daily	Average Number Served Daily	Average Number Served Yearly
<input type="checkbox"/>	Emergency shelter facilities				
<input type="checkbox"/>	Vouchers for shelters				
<input type="checkbox"/>	Drop-in center				
<input type="checkbox"/>	Food pantry				
<input type="checkbox"/>	Mental health				
<input type="checkbox"/>	Alcohol/drug program				
<input type="checkbox"/>	Child care				
<input type="checkbox"/>	Transitional housing				
<input type="checkbox"/>	Outreach				
<input type="checkbox"/>	Soup kitchen/meal distribution				
<input type="checkbox"/>	Health care				
<input type="checkbox"/>	HIV/AIDS services				
<input type="checkbox"/>	Employment				
<input type="checkbox"/>	Homeless prevention				
<input type="checkbox"/>	Other (please list):				

5. Eligibility Determination - (INCLUDE RESPONSE ON A SEPARATE DOCUMENT)

If this project is a direct client service, please explain how eligibility is determined. Detail eligibility criteria used (and attach), detail application process, selection criteria, enrollment, client flow chart, where clients apply, where services are delivered, etc.

6. Overall Program or Service Goals and Outcomes

USE YR 38 ESG BUDGET AND GOALS FORM (ATTACHMENT)
TO COMPLETE THIS SECTION

Consolidated Plan Priority Objectives May Include, But Are Not Limited to the Following (from the 5 Year Consolidated Plan):

1. Increasing Related Services for Special Needs Populations

Goal: Support the establishment of a coordinated, targeted, cost-effective strategy to provide emergency housing to those in crisis, and service-enriched supportive housing alternatives to better stabilize the lives of those with long-term needs

Goal: Support activities necessary to continue the coordination and stabilization of emergency shelter programs

Goal: Provide customized housing-specific supportive services to persons infected with HIV

Goal: Support the preparation of the City of Syracuse's annual Continuum of Care application

- a. Describe the general program or service goals including the number of units, households, individuals, or families your program is proposing to serve with this ESG Request. Describe all related tasks associated with identified goal(s).
- b. Describe three desired outcomes (quantifiable measure of results) if this program is to be funded. Explain how each outcome will be measured. Describe anticipated impact of service provision of participants.

7. Agency History & Capacity - (include response on a separate document)

- a. Provide a brief description of the agency's history along with the current programs and services offered.
- b. Describe your organization's current capacity and qualifications in carrying out the proposed activity. Explain how this proposed project similar and/or different to current activities undertaken by your agency.
 - i. Include agency staff chart
 - ii. Critical job descriptions
 - iii. Staff resumes

c. Describe your organization's administrative systems. Does your organization have the following in place (check what applies)? **(SUBMIT THIS PAGE WITH APPLICATION)**

- i. Audit System _____
- ii. Conflict of Interest Policies _____
- iii. Financial System _____
- iv. Formal written personnel system with policies and procedures _____ Date of last revision: _____
- v. Insurance Coverage _____
- vi. Procurement system with written policies and procedures _____
- vii. Record keeping system _____
- viii. Formal programmatic policies and procedures _____ Date of last revision: _____

d. Describe how your organization will address any gaps in its administrative services.

e. Does your organization, if funded, require and/or want technical assistance from the Department of Neighborhood and Business Development? If yes, explain the assistance requested.

8. Signature Section

TO THE BEST OF MY KNOWLEDGE AND BELIEF, THE STATEMENTS AND DATA IN THIS APPLICATION ARE TRUE AND CORRECT AND ITS SUBMISSION HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT. WITH THIS SUBMISSION, THE AGENCY ALSO AGREES TO FOLLOW ALL RULES AND REGULATIONS GOVERNING FEDERAL (ESG) FUNDING.

Signature (Authorized Official)

Name/Title (Typed or Printed)

Date