

CITY OF BUFFALO
Byron W. Brown, Mayor

MAYOR'S OFFICE OF STRATEGIC PLANNING
65 Niagara Square, 920 City Hall
Buffalo, New York 14202

2012-2013

ANNUAL ACTION PLAN

PROCESS HANDBOOK

October 12, 2011

To All Interested Applicants:

RE: Fiscal Year 2012-2013 Application

The City of Buffalo receives over \$20 million in Community Development Block Grant (CDBG), HOME Investment Partnership Program (HOME), Emergency Shelter Grant [ESG] and Housing Opportunities for Persons with AIDS [HOPWA] funds annually from the United States Department of Housing and Urban Development Agency (HUD). These funds finance a wide range of activities principally benefiting persons of limited income. Proposals for the use of these funds for fiscal year 2012-2013 are now being accepted.

HUD requires that the City set forth mid-term goals for the use of these funds. The City of Buffalo has defined those goals in its *Five Year Consolidated Plan, 2008-2012*. The Plan can be viewed on the City's website. Copies of the *Plan* are available for review in the main public library and at the Office of Strategic Planning (214 City Hall). In addition, the City has established annual objectives which fit within those general goals. All grant requests will be evaluated on the extent to which they meet these goals and objectives, as further described in this handbook.

Last year the City streamlined its application process. A single Program Application has been created that can be used to apply for funding from any of the CDBG, ESG, and HOPWA grants. The Handbook includes information on the Adoption Process, Consolidated Plan Goals, Grant Guidelines, and Forms to be attached to the Program Application. Please note the following guidelines:

- There are two separate pieces required for the application – the *Organization Assessments Section* and the *Program Application*. Multiple Program Applications may be submitted by each agency, but only one *Organization Assessments Section* document is required.
- Due to funding limitations the city will only be accepting CDBG applications under the public services category.
- Housing activities, including housing for special populations, funded under the Community Development Block Grant and HOME Investment Partnership Program will work under a Request for Proposal (RFP), which will be announced separately.
- Staff can provide technical assistance on the details of your project. Contact Jim Folan, Dept. of Community Services at (716) 851-4026 or Lynn Urbanski, Office of Strategic Planning, at (716) 851-5048 if you have questions.

Return one original copy of the completed application by **4:30 p.m., Thursday, November 10, 2011 to the Office of Strategic Planning, 65 Niagara Sq., Room 214 City Hall, Buffalo, NY 14202.**

Sincerely,

Mayor Byron W. Brown

Annual Action Plan Process Handbook

**Community Development Block Grant
Emergency Solutions Grant
Housing Opportunities for Persons w/AIDS**

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Preface

In a collaborative effort, the City of Buffalo and the U.S. Dept. of Housing & Urban Development have been working to streamline this year's application process. The result is a single Program Application that may be used to apply for any of our CDBG, ESG, and HOPWA grant funds. The Program Application focuses on summarizing program information, documenting national objectives and consistency with the City's Five Year Consolidated Plan, and fostering faith-based and community partnerships. This year we've made the application budget format uniform with the budget required in the BURA Subrecipient Agreement. It is our hope that these changes will have simplified the process and will have made it less burdensome for all of our applicants. Due to these changes, it is imperative that you carefully read and follow instructions to ensure accuracy and fullness of the application.

The Program Application has been deleted from the Handbook and is now a stand-alone document. The 2012-2013 Process Handbook has also been redesigned to make it easier to use and understand program guidelines. The Handbook contains information on the Adoption Process for the 2012-2013 Annual Action Plan, which includes the Community Development Block Grant (CDBG), Emergency Solutions Grant (ESG), and Housing Opportunities for Persons With AIDS (HOPWA), but excludes the HOME Investment Partnership Program (HOME). The HOME Investment Partnership Program will work under a Request for Proposal (RFP), which will be announced separately. The Handbook also contains three new forms, one for each of the grant programs, that must be completed and included with the Program Application.

Citizen participation and input on needs and priorities are encouraged. Public hearings have been and will continue to be conducted in an effort to afford citizens and Community Based Organization (CBO) representatives an opportunity to review and comment on the proposed Annual Action Plan Process. A review public hearing(s) will be held at the completion of the cycle for the draft Annual Action Plan for citizen review and comment before submission to HUD. All applications received by the closing deadline date will be reviewed and evaluated for compliance with the requirements of the application process.

2012-2013 Application and Award Process (Tentative Timeline)*

City of Buffalo Application Process:

October 12, 2011	Release of CDBG Applications.
October 13, 2011	Application Workshop
November 10, 2011 - 4:30 p.m.	Submission Deadline for Project/Applications.
November-December 2011	Review and Recommendation Process

Federal Grant Application Process:

November 2011	Commencement 2012-13 Action Plan Summary Drafting
October 12, 2011	Public Hearing 2012-13 Proposed Annual Action Plan
December 29, 2011	Mayor to submit Recommendations to Common Council
January 24, 2012	Common Council to endorse a 2012-13 Annual Action Plan
February 7-15, 2012	Public Hearing(s) 2012-13 Draft Annual Action Plan
30 Days after Public Hearing	30-Day Citizen Comment Period on 2012-13 Action Plan
March 15, 2012	Buffalo Urban Renewal Agency adoption of 2012-13 Annual Action Plan
March 16, 2012	Submission of 2012-13 Annual Action Plan to U.S. Dept. of Housing & Urban Development
March 17 - May 1, 2012	HUD Review and Approval of 2012-13 Annual Action Plan

* The above schedule may vary slightly due to unforeseen circumstances such as inclement weather conditions. However, all public notices, citizen review/comment periods will be adhered to.

Instructions

This section will instruct prospective applicants on the proper procedures and necessary requirements of an acceptable proposal. It is strongly recommended that you read the following section thoroughly prior to any submission.

ORGANIZATION ELIGIBILITY

In order for your organization to be considered for funding you must be a not-for-profit corporation. All other corporate forms are ineligible and cannot participate in the application process. This does not prevent unincorporated entities such as block clubs or associations from partnering with not-for-profit corporations for the purposes of completing an application; such partnering is actually encouraged.

Also, your organization may be fundamentally ineligible for participation due to federal regulations if it conducts ineligible activities and/or meets one of the following criteria.

- Conducts only Religious Services or requires program participants to also participate in religious activities (this does not prevent faith-based groups who conduct youth, senior or other programs from applying – these programs are eligible provided there are no religious activities included)
- Organization conducts Political Activities
- Operates a program that does not benefit city residents
- Requests Facility improvement dollars for a project which resides outside the City's boundaries
- Request for funding represents "Start-up Funding" for a new organization

FUNDING MATRIX

The matrix is arranged showing available grant funds across various categories. These categories indicate activities eligible for funding consideration. It also indicates total estimated funds available per category and a range of amounts traditionally allocated to organizations.

	Total Estimated Funding Available	Estimated Funding Award per Organization
Community Development Block Grant (CDBG)		
Public or Human Services (limited to 15% of funding)	\$2,611,360	\$5,000-200,000
Emergency Shelter Grant (ESG)		
Essential services (limited to 30% of grant)	\$210,000	\$25,000-\$100,000
Operations costs (limited to 5% for staff costs)	\$300,000	\$5,000-\$50,000
Homeless Prevention Activities (30% of grant)	\$5,000-\$50,000	\$5,000-\$150,000
Facilities & Improvements	\$100,000	\$5,000-\$100,000

	Total Estimated Funding Available	Estimated Funding Award per Organization
Housing Opportunities for Persons With AIDS (HOPWA)		
Tenant Rental Assistance	\$5,000-\$185,000	\$5,000-\$185,000
Supportive services/Information Services	\$5,000-\$176,000	\$5,000-\$40,000
Short-Term Rent, Mortgage, & Utility Paymts	\$5,000-\$81,000	\$5,000-\$90,000
Operating Costs for Housing	\$5,000-\$189,000	\$5,000-\$190,000
Administrative expenses (limited to 7% per agency)	\$38,000	\$1,000-\$14,000

CONSOLIDATED PLAN GOALS

In developing its five-year consolidated plan, the City identified the following goals and priorities which are the basis for any spending plans for federal grant dollars. Any project that has submitted for funding consideration should address one of these goals. You will be asked to identify the Consolidated Plan Goal in your application.

Goal 1: Provide a Suitable Living Environment

Goal 2: Provide Decent Affordable Housing

Goal 3: Expand Economic Opportunities

The City of Buffalo has set the following as priorities for funding for the 2012-2013 Program Year. Applications that meet the activities under the following categories will be given precedence.

Public/Human Services

- ⇒ Youth/Young Adults Do Well in School and Make Wise Decisions
- ⇒ Elderly/Senior Maintain and/or Improve Healthy Lifestyles
- ⇒ Persons with Special Needs Have Access to Services & are Meeting their Needs
- ⇒ Anti-Predatory Lending
- ⇒ Fair Housing/Anti-discrimination
- ⇒ Literacy Program
- ⇒ Employment Training
- ⇒ Communities are Safe and Supportive

CATEGORY BUDGET RESTRICTIONS & REQUIREMENTS

As indicated by the funding matrix above, only public services will be considered for CDBG funding this year. Please note some requirements and restrictions for the two available categories, as detailed below.

Public/Human Services

- Every applicant must complete an Agreement of Understanding of Technical Assistance Requirements form (attached to application), signed by both the Executive Director and Board Chairperson. Through this document every applicant certifies that it understands and agrees to the following terms for technical assistance

- Cognizant of possible required training/meeting seminars that will require mandatory attendance
- Failure to attend training and/or meeting seminars may result barring of future funding awards

Targeted Areas

The City of Buffalo has established the following as strategic areas of investment. Those applications, which seek to offer programs and/or projects located within these areas, will be given priority status. Maps of these areas may be found on Pages 20-22 of this Handbook.

BlackRock-Riverside	Grant Ferry
Lakeview	Homeownership Zone
Leroy	Schiller Park
Broadway/Fillmore	Cold Springs
Masten Park	Medical Park (Fruitbelt)
Hamlin Park	Seneca St.
Cazenovia Park	Triangle
Mid City Neighborhood Revitalization Strategy Area (NRSA)	

Completing an Application

A properly submitted application must contain the following...

- I. 2012-2013 Cover Page-Organizational Assessment, including any and all attachments as requested.
- II. Completed 2012-2013 Program Application with applicable Forms as requested.
- III. Complete a census tract map, outlining the boundaries of your program's service area.

2012-2013 Cover Page-Organizational Assessment

All organizations seeking Community Development Block Grant (CDBG), Emergency Solutions Grant (ESG) and/or Housing Opportunities for Persons WITH AIDS (HOPWA) funds must complete this section in entirety. Failure to complete this section will prohibit your organization from any consideration. Information requested in this section is easy to follow and very important for determining your organization's ability, capacity and overall eligibility in providing the proposed programming.

The 2012-2013 Cover Page is to preface your organizations application(s) and is only to be completed **once**.

2012-2013 Application (CDBG, ESG, HOPWA)

Your organization is required to complete **one** application **per** program. Do not mix funds (CDBG, ESG and HOPWA).

Here are some examples....

Example A: Requesting CDBG funds for a youth program which includes literacy, recreational and after-school tutoring.

Result: One Application. They are submitting for one program but have multiple activities.

Example B: Requesting CDBG funds for youth and senior programs.

Result: Two Applications. One application that addresses the youth program and one application for the senior program. Each application should include a separate budget for each program.

Example C: Requesting CDBG to improve a public facility and a youth program.

Result: Two Applications. One application for the Facility Improvement and one application for the Youth Program.

Example D: Requesting CDBG funds to operate a Community Center and ESG funds to operate a subsidiary homeless shelter.

Result: Two applications. Cannot mix funds. Each program must be reviewed separately.

Reminder: In each example the requesting organization would only be required to submit the 2012-2013 Cover Page-Organizational Assessment once.

Application: Submission

All applications must be received on or before 4:30 pm on Thursday, November 10, 2011. Applications received after the deadline will not be processed. NO EXCEPTIONS.

Applications may be delivered by courier or mail. If mailed, it is recommended that it be certified and sent prior to deadline date.

Please send all applications to:
Mayor's Office of Strategic Planning
2012-13 Annual Action Plan
Attention: Jocelyn Deeb
65 Niagara Square-214 City Hall
Buffalo, New York 14202

Community Development Block Grant (CDBG)

2012-2013 GUIDELINES

I. Introduction

Community Development Block Grants (CDBG)

These guidelines provide background and application process information on the CDBG program. Funds are an annual entitlement received from the U.S. Department of Housing and Urban Development. The funds must be used to benefit low and moderate-income persons or areas or to eliminate slum or blighting conditions.

The City of Buffalo, through its Citizen Participation process has developed a Consolidated Plan that lists local housing and non-housing community development need priorities. Projects that address these priorities will be considered for funding. We encourage citizens to comment on the proposed use of CDBG funds.

CDBG funding cannot replace local funding of low-income activities, but is meant to supplement that funding. The City of Buffalo will not reimburse costs involved in applying for CDBG funding. No activities can begin for proposed projects until an Award Letter or Sub-Grantee Agreement is fully executed. Beginning activities before funds are officially released will result in project ineligibility and no reimbursement.

Please submit 1 original proposal per project. If submitting more than 1 proposal, state the order of priority for each project by number. If you have questions, contact **Jim Folan at 716-851-4026 or Lynn Urbanski at 716-851-5048**. Also see page 12 for additional resources that are available on the Internet.

II. CDBG Activities

Funding is Available for the following activities:

This list is not all-inclusive list of CDBG eligible activities. A full list is available in code of federal regulations (CFR), Part 24, section 570.201.

1. Public Services (570.201 (e)) including labor, supplies, and materials. There is a 15% limitation on the amount of funds that can be obligated to public services. Proposed **public service projects must be either: a new or a quantifiable increase in the level of a service**. Public services include, but are not limited to: child care, health care, job training, recreation programs, education programs, crime prevention, fair housing counseling, services for senior citizens, services for homeless persons, drug abuse counseling and treatment, energy conservation counseling and testing, homebuyer down payment assistance, etc.

Ineligible Activities

The following are activities which may not be assisted with CDBG funding (CFR Part 24, 570.207):

1. Buildings or portions thereof, used for the general conduct of government; This does not include, however, the removal of architectural barriers.
2. General Government Expenses; Expenses required to carry out the regular responsibilities of the unit of general local government. Title I of the Housing and Community Development Act of 1974, as amended (through 10-29-92), Section 101, last paragraph: It is the intent of Congress that the Federal assistance made available under this title not be utilized to reduce substantially the amount of local financial support for community development activities below the level of such support prior to the availability of such assistance.
3. Political Activities; Shall not be used to finance the use of facilities or equipment for political purposes or to engage in other partisan political activities, such as candidate forums, voter transportation or voter registration.
4. Equipment and Furnishings; Is generally ineligible unless such item constitutes all or part of a public service and is required to carry out a CDBG assisted activity or is an integral structural fixture.

5. Operating and Maintenance Expenses: The general rule is that any expense associated with repairing, operating or maintaining public facilities, improvements and service is ineligible. Also ineligible are payment of salary for staff, utility costs and similar expenses necessary for the operation of public works and facilities. Please reference CFR 570.207(b)(2) for exceptions and more detail.
6. New Housing Construction: Except as provided under the last resort housing provision set forth in 24 CFR part 42; as authorized under Sec. 570.201(m); or when carried out by an entity pursuant to 570.204(a);
7. Income Payments: Examples of ineligible income payments include: payments of income maintenance, housing allowances and mortgage subsidies.

III. CDBG Program Year

City of Buffalo CDBG Program Year is May 1 - April 30.

IV. Project Requirements

National Objectives Requirement

An activity (or project) must meet one of HUD's National Objectives that Benefit Low to Moderate Income Persons.

1. Benefits to Low and Moderate Income Persons
Activities benefiting low and moderate-income persons that meet HUD's income criteria will be considered to benefit low and moderate-income persons. Please reference CDBG regulations 570.208 for more detailed information, as this is a brief summary.
 - a. Area Benefit Activities (LMA)
 - Available to all residents of the particular area - delineate boundaries of service area; and
 - At least 51% of the residents of the particular area are low and moderate income persons using officially recognized data, such as HUD Census Data; and
 - Particular area is primarily residential in character.
 - b. Limited Clientele Activities (LMC)
Benefits a limited clientele, at least 51% of whom are low or moderate-income persons. To qualify under this requirement, the activity must meet one of the following:
 - The following groups are presumed by HUD to be principally low and moderate income persons such as; 1) abused children; 2) battered spouses; 3) elderly persons; 4) adults meeting Bureau of Census' definition of severely disabled persons 5) homeless persons; 6) illiterate adults; 7) migrant farm workers; 8) persons living with AIDS, OR
 - The activity requires information on family size and income to document that at least 51% of clientele are persons whose family income does not exceed **HUD's Section 8 Low and Moderate Income Guidelines**; or
 - The activity has income eligibility requirements which limit the activity exclusively to low and moderate income persons, OR
 - Be of such a nature and be in such location that it may be concluded that the activity's clientele will primarily be low and moderate-income persons.

Note: HUD Census Data is available for viewing at the City's Office of Strategic Planning, 920 City Hall, Buffalo, NY 14202.

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 Office of Citizen Participation, 214 City Hall. 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.

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 nonprofit organizations-Uniform Administrative Requirements.
- A-133 Audits of States, Local Governments, and Non-Profit Organizations
- A-87* Cost Principles for State and Local Governments

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.

Environmental Regulations - All funded projects will need to have an environmental review to ensure compliance with NEPA (National Environmental Protection Act) regulations.

Housing One for One Replacement - If your project involves acquisition/demolition of housing, each unit (bedroom) must be replaced with similar number of affordable units. Contact our office if you need more information.

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) **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. (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) **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.

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.

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.

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).\

V. Application Forms - What to submit

One 'completed' original for each Program Application, including all required forms and attachments

VI. Application: Submission

All applications must be received on or before **4:30 PM on Thursday, November 10, 2011**. Applications received after the deadline will not be processed. NO EXCEPTIONS.

1. Applications may be delivered by courier or mail. If mailed, it is recommended that it be certified and sent prior to deadline date.
2. Please send all applications to:

Mayor's Office of Strategic Planning
2012-13 Annual Action Plan
Attention: Jocelyn Deeb
65 Niagara Square, 214 City Hall
Buffalo, New York 14202

VII. Definitions

Reference section 570.3 of CDBG regulations for additional definitions.

Low income family - is defined as a family whose income does not exceed 80 percent of area median family income (MFI). (In CDBG program operations this category was referred to as "**moderate income**".)

Very low-income family - is defined as a family whose income does not exceed 50% of the area median family income (MFI). (In CDBG program operations this category was included as "**low income**".)

Extremely low-income family - is a newly created term to address the homeless population or those at risk at becoming homeless. It is defined as a family whose income does not exceed 30% of area median family income (MFI).

The current HUD Section 8 Income Guidelines can be found at the following website: [www.huduser.org/datasets/il/il05/index.html]

CDBG Community Development Block Grant - Federal Entitlement program through which funds are made available on an annual basis to states, metropolitan cities and urban counties. Funds target economic development, public facilities and infrastructure (streets, sidewalks, curbs, lighting, etc) improvements, affordable housing and public services. Use of funds must meet one of the National Objectives.

Davis-Bacon Wage Rates - Federal legislation requires payment of prevailing wages for construction-related CDBG projects.

HUD - United States Department of Housing & Urban Development.

Program Income - For the purposes of the CDBG program, program income means gross income that is received by either a recipient or sub-recipient and has been directly generated from the use of CDBG funds. For those program income-generating activities that are only partially assisted with CDBG funds, such income is prorated to reflect the actual percentage of CDBG funds that were used. Reference: 24 CFR 570.500(a). Examples: (Please note that this list is not exclusive and therefore other types of funds may also constitute CDBG program income.)

- Proceeds from the disposition by sale or long-term lease (5 years or more) of real property purchased or improved with CDBG funds.
- Proceeds from the disposition of equipment bought with CDBG funds.
- Gross income from the use or rental of real property, that has been constructed or improved with CDBG funds and that is owned (in whole or in part) by the recipient or sub-recipient. Costs incidental to the generation of the income are deducted from the gross income.
- Payments of principal and interest on loans made using CDBG funds.
- Proceeds from the sale of loans made with CDBG funds.
- Proceeds from the sale of obligations secured by loans made with CDBG funds.
- Funds collected through special assessments that are made against properties owned and occupied by non-low and moderate-income households where the assessments have been made to recover some or all, of the CDBG portion of a public improvement.

The receipt and expenditure of program income shall be reported to the City of Buffalo (Grantee) and recorded as part of the financial transactions of the grant program. Sub-recipients are also subject to compliance with 570.504(c) for the disposition of program income.

Rehabilitation - To restore or bring to a condition of HEALTH, SAFETY, or useful and constructive activity, primarily associated with both single and multi-family housing that are existing.

Sub-Grantee (sub-recipient) - An organization designated to receive CDBG funding from the City of Buffalo for their use in carrying out agreed-upon, eligible activities. Note that entities receiving CDBG funds are required to execute a Sub-Grantee Agreement.

Reporting & Record-keeping Requirements – The City of Buffalo is required to submit an annual Performance Report to the U.S. Dept. of Housing & Urban Development (Ref. Sec. 91.520). The report will document the progress the City has made in carrying out its strategic plan and action plan. Organizations receiving CDBG funding for activities that provide a direct client service to families and persons assisted are required to report on the racial and ethnic status of those persons assisted. See Reference Sec. 570.506 Other Records to be Maintained for additional requirements.

VIII. Resources

Technical Assistance:

The City of Buffalo will be available, through scheduled sessions, during normal working hours (8:30 am-4:30 pm) to handle technical assistance regarding Community Development Block Grant.

Lynn Urbanski	• CDBG Program	851-5048	Donald Tolberti	• Emergency Shelter Grant	851-5007
Jim Folan	• CDBG Program	851-4026	Yvonne McCrayi	• Housing Opportunities for Persons with AIDS	851-5416

Internet Resources: The following information can be found on the Web:

CDBG Regulations:

<http://www.hud.gov/offices/cpd/communitydevelopment/rulesandregs/regulations/index.cfm>

Consolidated Plan Regulations:

<http://www.hud.gov/offices/cpd/about/conplan/index.cfm>

Basically CDBG Training Manual

<http://www.hud.gov/offices/cpd/communitydevelopment/training/basicallycdbg.cfm>

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>

HUD Performance Measurement Guidebook

<http://www.hud.gov/offices/cpd/about/performance/>

HUD Subrecipient Guidebook

http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/library

IX. Frequently Asked Questions

- Q: Must the applicant organization be a 501(c)(3) nonprofit?
A: Most applicants are government agencies and public entities, like municipalities. The nonprofit applicant must have 501(c)(3) status confirmed by the time funding decisions are made.
- Q: Must the applicant agency be located in the City of Buffalo?
A: Yes, although there have been a few exceptions in the past. In all cases, the agency must provide service to low and moderate income City of Buffalo residents.
- Q: Does the designation of specific revitalization focus areas exclude applications from other areas in the City?
A: No. Eligibility depends on the income of people who reside in the area. No eligible area is excluded from consideration. Eligibility determinations are based on 2000 census data provided by the U.S. Department of Housing and Urban Development (HUD).
- Q: The *Consolidated Plan* for Housing and Community Development covers the years 2008 through 2012. Does this mean that proposals should be for that five-year period?
A: No. The *Consolidated Plan* presents a five-year strategy and a one-year *Action Plan*. Proposals are for one-year periods beginning May 1st.
- Q: If a CDBG-funded Operating Agency has not spent its existing grant, can it still apply for new funds for next year?
A: Yes. Agencies are asked to plan the project so that the grant will be spent during the one-year period.
- Q: Are start-up funds available through CDBG?
A: Start-up operating funds for a new public service project are almost never approved. A short, start-up period for a proposed one-year "brick and mortar" project can be included.
- Q: What are the steps of the proposal application approval process?
A: Proposals are compiled and summarized by the Office of Strategic Planning.
- ◆ Proposals selected for funding are written into the *Annual Action Plan* for the coming year. The *Annual Action Plan* is submitted to HUD for review and approval.
 - ◆ HUD releases the funds, that is, makes the funds available to the city around May 1.
- Q: If your project has two components, should you use two application forms?
A: Yes.

Q: Can you explain the reimbursement process?

A: An agency uses its own resources to pay project expenses, and then submits to the Office of Strategic Planning a request for reimbursement along with proof of the expenses paid. The City processes the request and then mails a check to the agency.

Q: Are grant awards all or nothing? Is there any negotiation?

A: An agency might be awarded a portion of the amount requested. The grant amount depends on the reasonableness of the request; the track record of the requesting agency and the amount of funds the City has available. If less than the total request is awarded, the amount of work to be accomplished must be renegotiated.

Q: Will proposals for large projects, say \$750,000, be considered?

A: Large projects should be broken down into year-by-year phases. CDBG funds are limited, and there are many needs throughout the City that must be addressed.

Q: What is my agency's chance of being funded?

A: A new public service has a poor chance of being funded. Only 15 percent of the City's CDBG funds can go to public services. For a new project to be funded, an existing project has to give up funding. This is not likely to happen.

Disclaimer – The enclosed 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.

Emergency Solutions Grant (ESG)

2012-2013 GUIDELINES

I. Introduction

The City of Buffalo expects that approximately \$705,483 will be available for local projects in 2012 under the Emergency Shelter Grant Program. The Program this year will again follow the Consolidated Plan requirements for public comment. **Your response to this Request must be returned by 4:30 p.m., Thursday, November 10, 2011.**

As your agency acts as provider of services for the homeless, we ask that you consider submitting an application for funding under this program. Funds are available to non-profit agencies who are tax exempt under the 501(c)3 provision of the Internal Revenue Code.

II. Eligible Activities

- The renovation, major rehabilitation or conversion of a building for use as emergency or transitional shelter for the homeless; [funds may not be used for acquisition]
- Provision of essential services to the homeless including, but not limited to, services concerned with employment, physical health, mental health, substance abuse, education or food, including the staff salary necessary to provide such services;
- Payment of maintenance and operations expenses (excluding staffing costs), rent, repair, security, fuels and equipment, insurance, utilities and furnishings at the shelter and;
- Developing and implementing homelessness prevention activities.

III. Priorities

Proposals which present an opportunity to improve or upgrade existing facilities for the homeless will be given priority consideration during the review process. Also, there is a limit of 30% of the total grant amount which may be allocated for essential services and a limit of 30% which may be allocated for homelessness prevention.

IV. Regulations

If needed, you may obtain a copy of the latest program regulations which your agency should consider as you prepare your application for funding, by calling **Donald Tolbert**, 851-5007. Funding requests should follow the format noted below. Provide any pertinent **documentation**, which will support your application.

Important Note – To receive funding under the ESG program, you must provide shelter or services to the homeless. As per federal regulations, "homeless" means;

- A. An individual or family which lacks a fixed, regular, and adequate nighttime residence; or
- B. An individual or family that has a primary nighttime residence that is:
 - a. A supervised publicly or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters, and transitional housing for persons with mental illness);
 - b. An institution that provides a temporary residence for individuals intended to be institutionalized; or
 - c. A public or private place not designed for, or ordinarily used as a regular sleeping accommodation for human beings.

Note - the term does not include any individual imprisoned or otherwise detained pursuant to an Act of Congress or State Law

V. Proposal Information

<u>Program Description</u>	Your proposed program or project and the type of activity or activities you are proposing which will serve the homeless.
<u>Program Benefit</u>	The members of the homeless population who will benefit from your program (i.e. women, children, families, disabled individuals, veterans, etc.) and the number of people in each category who will be served.
<u>Program Budget</u>	The budget which you propose for your program.
<u>Matching Funds</u>	The source of matching funds, if any, that you will be providing (please provide documentation regarding the availability of these funds, if possible).
<u>Past Accomplishments</u>	In the area of serving the homeless, your organization must provide past accomplishments.

Please note that federal regulations limit the amount of funds that can be directed to personnel cost. Please ensure personnel cost are limited and prudent.

****** 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. If your project is selected for funding, you will need to obtain Common Council approval for a Special Use Permit.**

- A. Please provide support (i.e. calculations, evidence of past expenses or budgets) for any expenses, which will be funded by ESG monies. (Estimates will be acceptable if firm costs have not yet been determined, however, formal estimates will be needed before contract finalization).
- B. Please consider that more than eighty agencies have been invited to submit proposals for available ESG moneys and we anticipate that there will be strong competition for available funds. In this regard, you are advised that when requesting funds in excess of \$50,000, if possible, you should consider a submission, which reflects "phases" or project development "stages" so that partial funding might still bring about tangible results.
- C. Again, the close of business (4:30 p.m.) **Thursday, November 10, 2011** has been set as the deadline for the receipt of project proposals from eligible agencies. Proposals should be submitted to this office at the following address:

Mayor's Office of Strategic Planning
2012-13 Annual Action Plan – "ESG" Application
Attention: Jocelyn Deeb
65 Niagara Square, Room 214 City Hall
Buffalo, New York, 14202

If you need any further information or technical assistance, or would like to schedule an appointment to discuss your proposal prior to the application submission deadline, please contact Donald Tolbert at 851-5007.

Housing Opportunities for Persons With AIDS 2012-2013 Guidelines

I. Introduction

The City of Buffalo expects that approximately \$567,151 will be available for local projects in Program Year 2012 - 2013 under the HOPWA Program. The U.S. Department of Housing and Urban Development has not yet formally advised the City of our Year 2012 grant award, however, in order to begin preparation of the application, we are at this time soliciting proposals for funding. **Your response to this Request must be returned no later than 4:30 p.m., Thursday, November 10, 2011.**

As your agency acts as provider of services for persons with AIDS, we ask that you consider submitting an application for funding under this program. Funds are available to non-profit agencies that are tax exempt under the 501(c)3 provision of the Internal Revenue Code.

II. Eligible Activities

HOPWA funds may be used for those general activities identified below and further detailed in Subpart D – Uses of Grant Funds (24 CFR 574.300) in the program regulations. These uses include:

- Housing information services
- Resource identification
- Acquisition, rehabilitation, conversion, lease and repair of facilities to provide housing and services
- New construction
- Project-based or tenant-based rental assistance
- Short term rent, mortgage and utility payments to prevent homelessness
- Supportive services
- Operating costs for housing
- Technical assistance in establishing and operating a community residence, and;
- Administrative expenses

III. Program Information

The following principles listed below will apply to successful applicants and should be factored into planning, staffing and budgeting for the proposed program.

Housing and housing support services continue to be a critical and unmet need of persons with HIV/AIDS. Some factors contributing to homelessness among persons with HIV/AIDS include the high cost of health care; employment and housing discrimination; job loss; isolation from family and lack of social supports; and the debilitating effects of this disease. The City of Buffalo seeks providers in Buffalo and Niagara counties to reach and provide housing and supportive services to persons with HIV/AIDS and their families who are homeless, in danger of becoming homeless or require assistance.

Communities of Color. The HIV/AIDS epidemic continues to disproportionately effect communities of color and other at risk populations. The City of Buffalo is committed to improving access to housing services for these populations. Applicants should be able to demonstrate experience and effectiveness in serving communities of color and how proposed program activities will result in access to a full continuum of high-quality HIV services for these communities.

Cultural Competency. In order to effectively engage clients and provide high-quality services, a meaningful trusting partnership must be developed between provider and client. Programs should be designed with an understanding of the differences that derive from language, culture, race/ethnicity, and religion. These differences include variations in values, belief systems and subcultures, including those related to gender, age, income, region or neighborhood, sexual orientation, gender identity and expression, substance use, and homelessness.

Consumer Participation. Consumers are an important component in the design, development, evaluation and improvement of HIV/AIDS programs. Each applicant should document that consumers have participated in the design of the proposed program and include a plan for ongoing consumer involvement and evaluation.

Collaboration and Continuum of Care. Agencies receiving funding must develop clearly defined and articulated referral agreements focused on specific services needed by the target populations, which are not available on site. Funded programs should develop active working relationships through letters of agreement, memoranda of agreement (MOA) or sub-contractual arrangements with other local HIV providers to ensure a comprehensive continuum of HIV services. Letters of agreement, MOAs or sub-contractual agreements must be in writing and include a system for documenting outcomes of the referral process.

Program Description: Describe your proposed program or project and the type of activity or activities you are proposing which will serve persons with AIDS. Explain how the program will make a difference in the Erie and Niagara geographic area.

Program Benefit: The members of the population who will benefit from your program (i.e. women, children, families, communities of color, veterans etc.) **and** the number of people in each category who will be served by your program.

Past Accomplishments: in the area of serving persons with HIV/AIDS including the number of beneficiaries in each program category served last year. What quantifiable results have you achieved in the last three years? What specific results do you expect to achieve with this funding and how do you or will you measure success?

Outreach and Education: Provide a description of planned outreach and education efforts.

Other Housing Grants/Funding – What other housing related grants or funding does your agency receive? Are these grants HIV/AIDS specific?

Matching Funds – The source of matching funds, if any, that you will be providing (please provide documentation regarding the availability of these funds, if possible).

Budget: Please provide a detailed budget for any expenses, which will be funded by HOPWA moneys. (Estimates will be acceptable if firm costs have not yet been determined, however, formal estimates will be needed before contract finalization.) Additionally, please provide the agency's organizational structure.

***If your proposal provides for the renovation, major rehabilitation or conversion of a building for use as housing or a service center at a site where no such shelter or center 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. If your project is to be selected for funded, you will need to obtain Common Council approval for a special use permit.

If you need any further information, or would like a copy of the program regulations, or would like to schedule an appointment to discuss your proposal, please contact **Yvonne McCray**, at 851-5007.

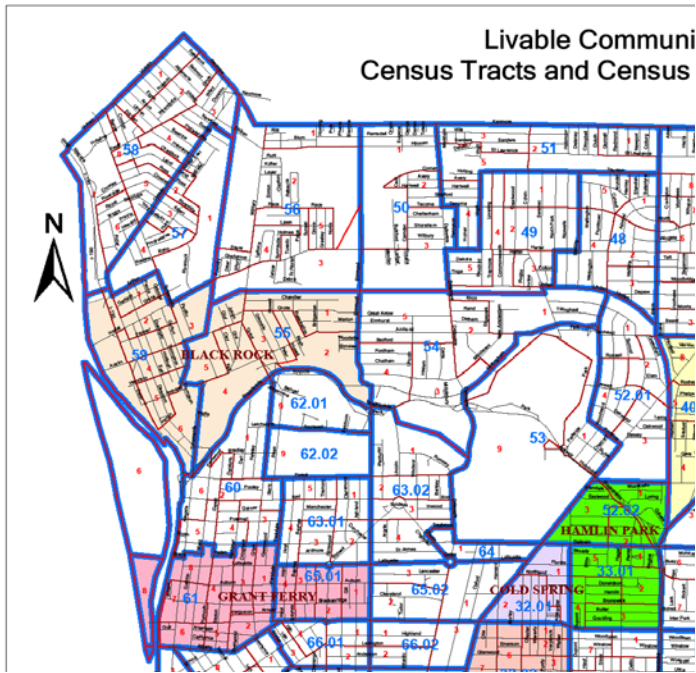
Important Note

As per federal regulations, persons eligible to receive assistance or services under the HOPWA program are persons with acquired immunodeficiency syndrome or related diseases who are low-income individuals and their families. A person with AIDS or related diseases, or a family member regardless of income is eligible to receive housing information services, as described in Section 574.300(b)(1). Any person living in proximity to a community residence is eligible to participate in that residence's community outreach and educational activities regarding AIDS or related diseases, as provided in Section 574.300(b)(9).

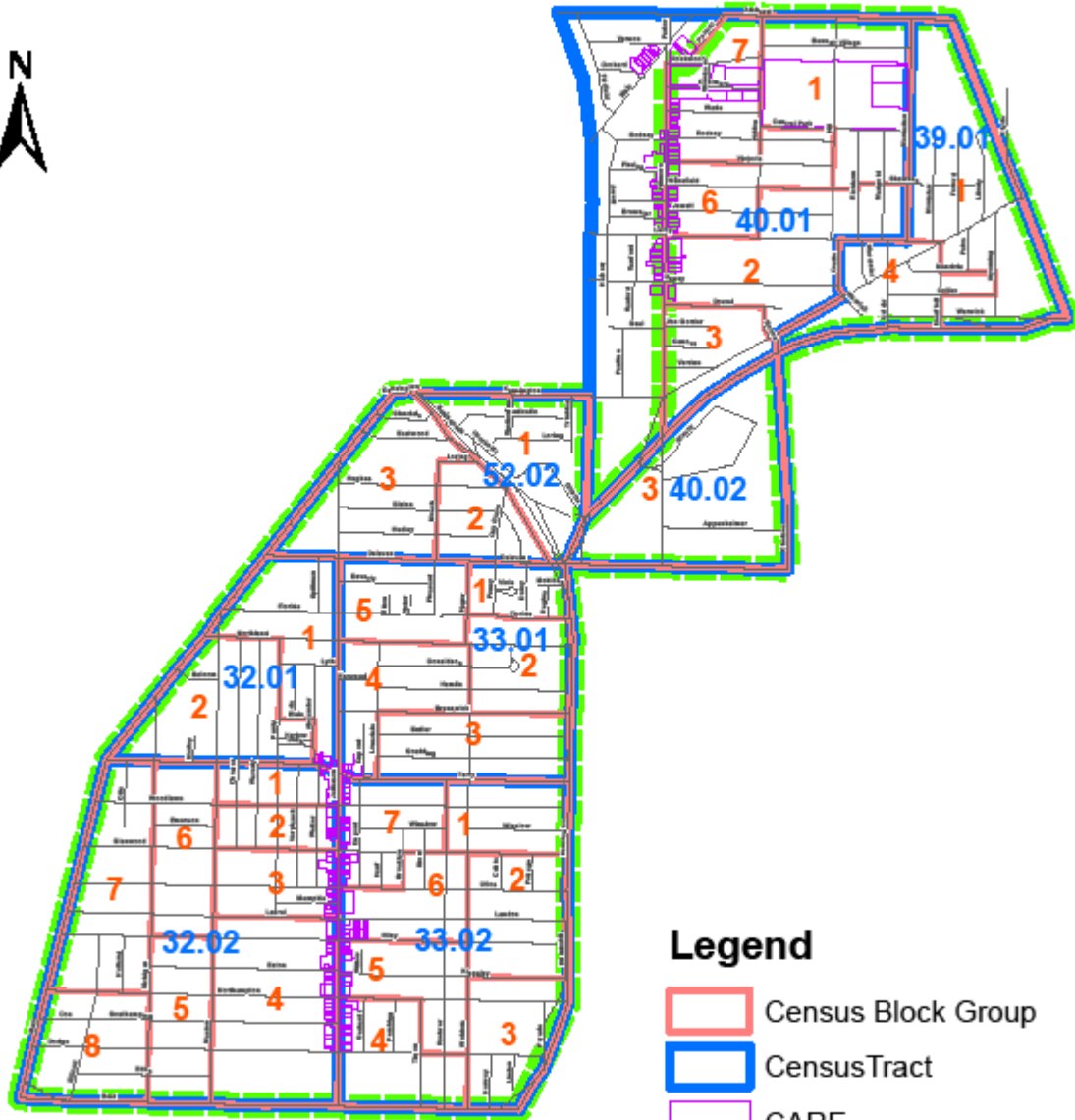
HOPWA Planning Process – During the coming year, the City will be implementing a formal community planning process to develop comprehensive strategies for addressing the housing and related supportive service needs of persons living with HIV/AIDS and their families. All agencies receiving HOPWA funds must participate in the planning process. Please include a brief statement in your application indicating your agency's willingness to actively participate in the process. Feel free to include suggestions for making the planning process as effective as possible.

Again, the deadline for submission of project proposals from eligible agencies is **4:30 p.m., Thursday, November 10, 2011.** Proposals should be submitted to:





Mayor's Office of Strategic Planning
**2012-13 Annual Action Plan—"HOPWA"
Application**
Attention: Jocelyn Deeb
65 Niagara Square, Room 214 City Hall
Buffalo, New York, 14202



MID CITY NRSA



Legend

-  Census Block Group
-  Census Tract
-  CARE
-  NRSA Boundary



Office of Strategic Planning
City of Buffalo
October 01, 2007

