

Affordable Home Ownership Development Program
2016-2017 Lake Ontario Flooding - Home Improvement Projects

**Application for
Municipalities and eligible not-for-profit organizations**

Acceptable Proposals must be organized into four parts according to the following outline, and must include all information, documentation, and certifications called for in the following pages.

Parts of a Proposal

Part I: Grant Exhibits

- Project Information & Description
- Financial Plan

Part II: Applicant/Development Team Information (*Provide narrative attachment*)

Part III: Certifications: All Certifications must be signed by authorized representatives

Part IV: Supplemental Documentation

- Agreements between Grantee and Participating Parties
- Commitments - Non AHC Sources
- Homeowner Warranty
- Insurance
- Market Information (demonstrating there are homes available for this program)

Questions? Call NYS Homes & Community Renewal at (518) 474-2057

PART I (A) PROJECT INFORMATION & DESCRIPTION

Use Microsoft Word to complete as a fillable form.

SECTION 1: Grantee Information:

Organization Name:	_____
Address:	_____
City/State/Zip:	_____
EIN #:	_____
URL:	_____
Date of Incorporation:	_____
County:	_____
Phone:	_____
CEO/Exec. Director:	_____
Contact Person:	_____
Title:	_____
E-mail:	_____

Grantee Type (Check all that Apply):

- Municipality
- Municipal Housing Authority
- Housing Development Fund Company (PHFL Article 11)
- Not-for-Profit Corporation
- Charitable Organization
- Rural Preservation Company (PHFL Article 17)
- Neighborhood Preservation Company (PHFL Article 16)
- Designee of Municipality, as defined in Section 2160.2(d) of the Program Regulations
(Please submit an Opinion of Counsel letter verifying eligibility)

Name of Municipality: _____

SECTION 2: Project Information

Project Name:	_____
Address/Location:	_____
Town, Village or City:	_____
Area or Neighborhood Name:	_____
County(ies):	_____
Region:	[Select Region]

Assembly and Senate Districts

<i>District Type</i>	<i>District Number</i>	<i>Member's Name</i>
NYS Assembly:	_____	_____
	_____	_____
	_____	_____
NYS Senate:	_____	_____
	_____	_____
	_____	_____

SECTION 3: Project Narrative Description

Attach a narrative description of the Flood Relief Project, include details of the existing neighborhood housing stock, its average age and general condition. Explain the need for the grant and the difficulties in obtaining private financing for the proposed improvements. Describe the targeted population.

SECTION 4: Project Type – Home Improvement

Indicate the **estimated** number of structures by type:

Type	Owner Occupied Units	Total Units
1 Family		
2 Family		
3 Family		
4 Family		
Cooperative		
Condominium		
<i>Total</i>		

SECTION 5: Site Information

Home Improvement Projects

Provide a narrative attachment with the following information:

- *Number of homes proposed for improvement*
- *Types of improvements proposed (structural, safety and code upgrades, roofs, windows, heating systems, etc.)*
- *Estimated range of costs*

PART I (B) FINANCIAL PLAN

SECTION 1: Sources

In this section the Applicant must describe all sources of public and private funds that will be used to finance the Project. The Proposal must include the following information for each source of public or private funds:

Attach a narrative description of the financing structure for this proposal, including detail of all sources (names, providers, administrators), their terms (length, payment, interest rate) and limitations (loans, grants, donations, geographic and how the money must be used).

Describe all deadlines or other information which might impact the proposed project.

- A. Total AHC Subsidy Funds requested:** \$ _____
Construction amount \$ _____ (100% of the funds requested unless Admin/Operating expenses are also being requested)
Administrative/Operating Expenses amount \$ _____ (can be no more than 10% of the Total AHC Subsidy Funds requested)

B. Other Sources:

1. Other Public Funds:	Status of Funds:	Amount:
a. _____	_____	\$ _____
b. _____	_____	\$ _____
c. _____	_____	\$ _____
		Total Other Public Funds: \$ _____

2. Private Funds:	Status of Funds:	Amount:
a. _____	_____	\$ _____
b. _____	_____	\$ _____
c. _____	_____	\$ _____
		Total Private Funds: \$ _____

Total Other Sources (B1+B2): \$ _____

- D. Total Sources (A + B, above):** \$ _____
E. AHC Percent of Total (AHC ÷ Total Sources): _____ %
F. Leverage Ratio (Total Sources ÷ AHC): _____
G. Estimated Average AHC/Unit Cost: \$ _____ /unit
(AHC funds ÷ Total Units)

SECTION 2: Uses

A. Home Improvement Budget:

	Total	Per Unit
1. Permits	\$ _____	\$ _____
2. Architect/Engineer Fees		
3. Construction Costs		
a) Labor		
b) Material		
Subtotal		
4. Operating Expenses		
5. Other		
Total	\$ _____	\$ _____

SECTION 3: Operations Budget

A. Grantee Administrative Budget

Up to ten percent (10%) of the AHC funds may be used for Grantee operating expenses, including expenses related to the organization, operating support and administration of the Project.

These funds should be included in the Home Improvement Budget (Section 2A, under “Operating Expenses”).

	Costs	Source of Funding	
Staff	\$ _____	_____	_____%
Consultants	\$ _____	_____	_____%
Overhead	\$ _____	_____	_____%
Other	\$ _____	_____	_____%
Total	\$ _____	_____	_____%

B. Neighborhood & Rural Preservation Companies: Technical Services & Assistance

Additional AHC funds of three percent (3% of the total AHC funds requested, above and beyond the total AHC request, not to exceed \$40,000) may be used for the administrative expenses identified above, if the Grantee is a Neighborhood Preservation Company (NPC) or Rural Preservation Company (RPC). NPCs and RPCs will be required to execute a certification of their status when the grant agreement is executed.

PART I (C) MANAGEMENT PLAN

Grantees will be required to adhere to a Program Management Plan (the "Plan") that complies with the program regulations in all material respects. The Plan guidelines are outlined in the Application Instructions and will be provided at the time of contract.

PART I (D) PROJECT STATUS AND SCHEDULE OF ACTIVITIES

Grantees will be provided a schedule detailing the timeline and landmark dates from the beginning of the development process to project completion with the grant agreement.

PART I (E) TEMPORARY RELOCATION PLAN

The Project must not result in the permanent displacement of low or moderate income residents. Any temporary relocation of residents must be carried out in accordance with a temporary relocation plan that conforms to the requirements of the Regulations.

PART II APPLICANT/DEVELOPMENT TEAM INFORMATION

Applicants must be municipalities or their designees, municipal housing authorities, not-for-profit or charitable organizations that have as one of their primary purposes the improvement of housing.

Attach the following information and documentation about the Applicant and development team.

I. Applicant Qualifications

Describe the qualifications of the Applicant. Describe the Applicant’s current staffing and capacity to administer this grant. List the names and titles of members of the board of directors, officers, and technical staff.

II. Experience

Describe the Applicant’s previous experience in housing development. Identify any previously funded AHC projects.

Provide a list of AHC projects with the AHC ID number, the amount of the award and the current status for each project.

Provide a list of projects completed in connection with, or using funds from, SONYMA, DHCR, and any other state or local housing agencies. Include the name of the project, date completed, size of the project, total cost of the project, and relevant agencies.

III. Insurance

Provide evidence of required insurances as set forth in the AHC Rules and Regulations. Provide details of any departures or variances.

PART III Certifications

The Applicant Certification must be executed by the chief executive officer of the Applicant/Grantee.

APPLICANT CERTIFICATION

On behalf of the Applicant, the undersigned hereby certifies that all of the information and supporting documentation contained in this Proposal in response to the Affordable Housing Corporation’s Request for Proposal is correct, complete and accurate, and acknowledges that falsification of information is classified as a felony, and violators will be subject to prosecution.

The undersigned further recognizes and accepts the responsibility and obligation to notify the NYS Affordable Housing Corporation, in writing, if he/she becomes aware of any subsequent events or information which would change any statements or representations previously submitted to AHC.

The undersigned further certifies that he/she will comply with all rules, regulations, statutory requirements and conflict of interest policies of the AHC and accepts the administrative, programmatic and reporting responsibilities under this program.

The undersigned further certifies that the project is not located in a jurisdiction in which there is a court decision or court entered plan to address housing desegregation or remedy some other violation of law. If the project is located in such a jurisdiction, evidence is attached, in the form of a document from the jurisdiction, to the effect that the project is consistent with such decision or court-entered plan.

The undersigned further certifies that no member of the Board of Directors or staff member of the Applicant will directly or indirectly benefit financially from or participate in the proposed project. Any matter regarding any potential conflict of interest or appearance of impropriety arising in connection with this project has been set forth and disclosed.

The undersigned further certifies that he/she will comply fully and without delay with any request from AHC or its representatives or from any public investigatory agency with jurisdiction over the Project or Program, for cooperation with any investigation or inquiry regarding the Project or Program. Such cooperation will include, but not be limited to, providing AHC staff or its duly authorized representatives and authorized personnel of any public investigatory agency with jurisdiction over the Project or Program with reasonable access to the Project site and to the Applicant’s personnel and premises, and to its files, papers, notes, and computer records and copies thereof that pertain to the Project or Program.

In addition, each contract or agreement made in connection herewith, between the Applicant and a participating party involved in the Project, such as, but not limited to, a builder, contractor, or developer, shall contain provisions substantially equivalent to the requirements set forth in this Request for Proposals, obligating each such participating party to provide cooperation and access to AHC staff and investigative agency personnel in the course of their duties with respect to the Project and Program.

<p>Name: _____ Title: _____ Date (mm/dd/yyyy): _____</p>

(signature required) **SIGNATURE:** _____

Other Certifications

Home improvement projects are identified in the State Environmental Quality Review Act as “Type II SEQR Actions” which do not require environmental Assessments. The Corporation’s Environmental Services Unit will make the final decision as to whether a project qualifies as a Type II home improvement project.

The following certifications must be submitted to AHC as part of the grant application for home improvement projects:

- *The Project site for which an AHC grant is being requested is not located in a flood hazard area as defined by the Federal Insurance Administration, pursuant to the Flood Disaster Protection Act of 1973.*
- *The Project site is not listed on, or eligible for, the state and/or National Register of Historic Places, nor will the Project have an impact on such a site.*

An acceptable certification form for these two requirements is included below.

Environmental Certifications

On behalf of the applicant, the undersigned certifies that Affordable Housing Corporation (AHC) grant funds will not be expended on any historic and/or archeological site (cultural resources) listed on or eligible for the state and/or National Register of Historic Places unless determined that such expenditure of funds will have no adverse impact upon such cultural resources. Such listing, eligibility and determination of adverse impact shall be determined by the New York State Office of Parks, Recreation, and Historic Preservation, Historic Preservation Field Services Bureau located at Peebles Island, PO Box 189, Waterford, New York.

The undersigned further certifies that the project site for which and AHC grant is being requested is either not located in a Special Flood Hazard Area (SFHA), or if located in a SFHA, complies with the New York State Department of Environmental Conservation’s Flood Plain Management Criteria For State Projects (NYCRR Part 502) and flood insurance has been obtained. The SFHA is that land within the floodplain of a community subject to a 1 percent or greater chance of flooding in any given year, commonly referred to as the 100-year floodplain. The SFHA is to be determined from a Flood Insurance Rate Map (FIRM) available from the Federal Emergency Management Agency or any other method deemed acceptable under the National Flood Insurance Program.

(signature required)

Signature Applicant’s Name (please print)

Title Date