



CITY OF NEW HAVEN
CONSOLIDATED PLAN
REQUEST FOR APPLICATIONS

2010-2011

Instructions and Application Form

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In 1995, the Department of Housing and Urban Development (HUD) issued a ruling requiring a single consolidated submission for community development and housing programs – specifically the Community Development Block Grant (CDBG), HOME Investment Partnerships (HOME), Emergency Shelter Grant (ESG) and Housing Opportunities for Persons with AIDS (HOPWA) Programs. In accordance with this ruling (24 CFR Part 91), the City of New Haven has developed its Consolidated Plan for Housing and Community Development. The overall goal of the Consolidated Plan is to develop viable urban communities by providing decent housing, a suitable living environment and by expanding economic opportunities principally for low and moderate-income persons, through the use of CDBG, HOME, ESG, and HOPWA funds.

The Consolidated Plan describes the City's housing and community development needs; and defines the City's strategies, goals, and priorities. Also emphasized is the role of citizens and community groups in identifying needs and recommending actions to address those needs, thereby promoting citizen participation and encouraging consultation with public and private agencies. This year, as required by HUD regulation, the City is updating its Five Year Consolidated Housing and Community Development Plan, to cover FY 2010-2014. Over the next several months, in addition to developing an Action Plan for the Upcoming Program Year, meetings and public forums will be held to formulate programs and generate input and comment on housing and community development goals and strategies for the next five years.

Each year the City prepares an Annual Action Plan describing the City's projected use of funds for the upcoming program year as part of its budget process for submission to HUD. This application process forms the basis for the Annual Action Plan for the upcoming Program Year, July 1, 2010 through June 30, 2011.

To ensure broad based community involvement in the systematic revitalization of our neighborhoods, the Consolidated Plan incorporates strategies and processes established through the City's Strategic Plan and Empowerment Zone (EZ) designation. Each neighborhood has an established EZ Neighborhood Implementation Committee (NIC) that meets monthly. *(Please note the West Rock NIC is only required to meet on a quarterly basis).* Neighborhood committees are instrumental in building essential community partnerships, which can successfully address the complex issues facing our neighborhoods. It is important that committees are made aware of activities that propose to serve residents of their respective neighborhoods. Applicants are encouraged to present proposed projects to the appropriate NIC for review and endorsement. Letters or forms of endorsement should be attached to applications to illustrate that the proposed program meets an identified neighborhood priority. Please note that EZ committees *do not* have the authority to reject Consolidated Plan applications. *(In cases where an applicant has been unable to meet with the appropriate EZ neighborhood committee prior to submission of the application, letters/forms of endorsement will be accepted up until January 31, 2010. However, you should indicate the expected meeting date in your response to Question #3, Application Section, page 18.)*

Neighborhood Management Teams

DIXWELL

3rd Thursday of the month at 7:00 PM
Agenda – 3 weeks in advance
Meeting Location: 26 Charles St.
CONTACT: Roxanne Condon 562-7696
roxannehc@snet.net

FAIR HAVEN

1st Thursday of the month at 6:00 PM
Agenda – Wednesday before meeting
Meeting Location: 295 Blatchley Avenue
CONTACT: Diane Ecton 671-5301
EctonDiane21@sbcglobal.net

HILL SOUTH

3rd Wednesday of the month at 6:00PM
Agenda – 1 week before
Meeting Location: 410 Howard Avenue
CONTACT: John Dye 789-0507
johnny40@aol.com

DWIGHT

1st Tuesday of the month at 6:30 PM
Agenda – 2 weeks before
Meeting Location: Tim Dwight Elementary
Day Street Entrance
CONTACT: Florita Gillespie 776-0169
cmcdonald04@snet.net

HILL NORTH

2nd Tuesday of the month at 6:00 PM
Agenda – 2 weeks before
Meeting Location: 90 College Street
CONTACT: Anthony Dawson 787-0677
Anthony.Dawson@ynhh.org

NEWHALLVILLE

4th Tuesday of the month at 6:00 PM
Agenda – 2 weeks before
Meeting Location: Hazel Street Substation
CONTACT: Claudine Wilkins-Chambers 777-3106

WEST ROCK

Last Wednesday of the month at 6:00 PM
Meeting Location: 29 Wilmot Road
CONTACT: Curtis Jennings 387-0745
curtis.jennings@snet.net

Note: Meetings are subject to change. Please confirm location and time with the committee

**SECTION I
CITY OF NEW HAVEN
CONSOLIDATED PLAN ELIGIBLE ACTIVITIES**

In order to qualify for funding your application must fit within one of these activities. **If your program fits into more than one category you must submit a separate application for each activity. If two categories are applied for in one application the application will be rejected. If you apply for the wrong category your application will also be rejected. Please read the descriptions carefully.**

	Eligible Activities	Funding Sources			
		CDBG	HOME	ESG	HOPWA
1	Preservation and rehabilitation of existing housing stock serving low and moderate income persons and families; (Homeownership Counseling & Support is a Public Service and not a Rehabilitation Activity)	x	x		
2	Development of additional critically needed housing principally benefiting very low, low and moderate income persons and families including transitional housing, permanent housing, supportive housing, and accessible housing for persons with disabilities;	x	x		x
3a	Retention and creation of additional jobs for low and moderate income residents of New Haven;	x			
3b	Expansion of jobs and economic opportunity as the foundation for neighborhood revitalization; including micro-enterprise development (businesses employing five or fewer individuals)	x			
4	Acquisition, Relocation, Demolition and Disposition activities in support of eligible activities that are the City's priorities;	x	x		x
5	City Use Only: Planning in support of the City's overall Consolidated Plan and development efforts;	x	x	x	x
6	Improvements to or development of public facilities which further the City's overall Consolidated Plan and development efforts in regard to the City's low and moderate income children, elderly and disabled population;	x			
7	Provision of Public Services that promote and enhance opportunities for self sufficiency among low and moderate income families or which provide for a fundamental need of low and/or moderate income families or individuals which is not being addressed. Specific focus areas may include: <ul style="list-style-type: none"> • Addressing infant, youth and maternal health needs; • Providing after-school, evening and summer programs and activities. • Addressing child care, educational and social development needs of youth; • Fostering positive image and reinforcement for children and youth; • Addressing the needs of the City's elderly and disabled populations; • Achieving and enhancing intergenerational relationships; • Providing job training and employment support consistent with the City's welfare and job training system • Enhancing school-community partnerships; • Providing homeownership counseling and support services • Providing supportive services and essential medical care • Psychiatric treatment, rehabilitative and support services, community education, training, consultation and advocacy to assist in transition and reentry into the community. 	x			
8	To provide emergency housing and services to homeless and near homeless individuals and families seeking shelter services in the City of New Haven.	x		x	x
9	To provide supportive housing for persons with special needs such as persons with HIV/AIDS, the elderly and persons with disabilities.				x
10	To provide services to families and individuals to reduce the risk of becoming homeless. (including Supportive/Transitional Housing)	x		x	x
11	Services that directly benefit individuals and families (consumers) affected with HIV/AIDS	x			x

SECTION I (continued)

Administrative Considerations:

CDBG

- 15% Public Services
- 20% Planning and Administration

HOME

- 10% Administration

HOPWA

- 7% Administrative Cost per Project Sponsor
- 3% Grant Administration

ESG

- 30% Prevention Services
- 30% Essential Services
- 10% Staff Costs

- **All activities funded with CDBG funds shall be project specific** and principally benefit (at least 51% of project beneficiaries) low, very low and extremely low income persons and/or address slum and blight in the community, and directly address one or more objective from above. **Each application must focus on only one of the ten Consolidated Plan activities listed in Section I on the prior page.** However, more than one application may be submitted by the same agency.
 - Housing and Public Improvement activities must list specific addresses or sites where actual rehabilitation or improvements will take place.
 - Public Service proposals must demonstrate how the services to be provided support, strengthen and unify families, reinforce self-sufficiency and/or fulfill an urgent/essential need. **If prior funding has been received, public service proposals must demonstrate how current programs and services are to be increased or expanded.**
- **Requests for HOME** funds must benefit households earning less than 80% of the median and may only fund project costs associated with the rehabilitation or construction of transitional, permanent, or group housing, including Single Room Occupancies (SROs). HOME and CDBG requests may be combined for construction costs. **DO NOT REQUEST HOME FUNDS THROUGH THIS CONSOLIDATED PLAN APPLICATION PROCESS.** Requests for HOME funds are made throughout the year via a separate application process. Applications are submitted directly to the Livable City Initiative (LCI) Bureau on an individual project basis and are reviewed to assure strict compliance with Federal regulations and applicable program goals. (Please refer to Appendix B HOME Funding Process) If an organization is receiving or anticipates receiving HOME funds for the proposed activity, please indicate the amount in the proposed budget. (See 11a - Proposed Program Budget Form). HOME Funding will be made available through LCI.
- **Requests for Emergency Shelter Grant** funding must benefit individuals and families who lack a fixed, regular, and adequate nighttime residence or who have a primary nighttime residence that is a publicly or privately operated shelter designed to provide temporary living accommodations. Proposals must address one of the following activities: renovations, major rehabilitation, conversion of buildings for use as emergency shelters for the homeless; provision of supportive services to the homeless; payments for maintenance and operation of emergency shelters; and development and implementation of homeless prevention programs.
- **Requests for HOPWA** funds must assist housing designed to prevent homelessness for persons with HIV/AIDS, who are at or below 80% of the AMI, including emergency housing, shared housing arrangements, apartments, single room occupancy (SRO) dwellings, and community residences. Applicants must demonstrate an ability to provide the appropriate supportive services to meet the wide-range of needs, as well as the capacity to monitor and maintain sufficient follow-up, of eligible persons.

SECTION II (A)
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) PROGRAM DESCRIPTION
(24 CFR Part 570 – Community Development Block Grants)

Title I of the Housing and Community Development Act of 1974 gives the authority to provide annual grants known as Community Development Block Grants (CDBG) to entitled cities and counties. The purpose of these grants is to develop communities by providing decent housing, suitable living environments, and by expanding economic opportunities, principally for low- and moderate-income persons. Grants are awarded to entitlement communities to carry out a wide range of community development activities directed toward neighborhood revitalization, economic development, and the provision of improved community facilities and services. Activities must meet one of the following three **national objectives**:

1. **to benefit low and moderate income persons (persons earning less than 80% of the area median income),**
2. **to aid in the prevention or the elimination of slums and blight, or**
3. **to meet an urgent need/imminent threat (e.g. natural disasters).**

Eligible activities include, but are not limited to, the following:

- **Acquisition of Real Property** - property to be acquired must be viewed in terms of the planned use of the property involved for purposes of evaluating compliance with the CDBG national objectives.
- **Disposition** - any expenses related to the disposal of CDBG property or urban renewal such as appraisals, surveys, and/or property management.
- **Public Facilities and Permanent Improvements** - streets, curbs, sidewalks, parks, public facilities, etc.
- **Demolition** - removal of structures for public safety and physical development.
- **Interim Assistance** - aid in situations determined by the Mayor to be emergency situations that threaten public safety.
- **Relocation** - used for relocation payments or assistance to displaced persons, families or businesses.
- **Removal of Architectural Barriers** – installation of ramps, curb cuts, wider doorways, or other modifications needed to make a structure accessible.
- **Housing Rehabilitation** - to finance the rehabilitation of any publicly or privately owned residential property, including the conversion of non-residential property for housing.
- **Special Activities by Sub-recipients** - funding for neighborhood-based non-profits, small business investment companies, and local development corporations to carry out a neighborhood revitalization, community economic development, or energy conservation project. New construction housing activities funded with CDBG funds may only be undertaken by a **Community Based Development Organization (CBDO)**. By definition a CBDO is an organization which has the following characteristics:
 - Is an association or corporation organized under State or local law to engage in community development activities primarily within an identified geographic area of operation (a singular particular neighborhood)
 - Maintains at least 51% of its governing body's membership for low and moderate income residents, owners or senior officers of private establishments and other institutions located in and serving its geographic area of operation, and has a minimum of 2/3 board membership from that identified neighborhood.
 - Does not permit more than one-third of the membership of its governing body to be appointed by, or consist of, elected or other public officials, employees or officials of an ineligible entity.

SECTION II (A) (continued)

- **Special Economic Development Activities** - Commercial or industrial improvements or assistance to private-for-profit entities in the form of loans.
- **Public Service Activities** - Public service program (including labor, supplies and materials) which is directed toward improving the community's public services including, but not limited to: job training, job-readiness placement, crime prevention, child care, health, substance abuse, education, transportation, fair-housing counseling, homeownership counseling, energy conservation, welfare or recreational needs. *Public services must meet each of the following criteria: be a new service or demonstrate a quantifiable or measurable increase in level of service and not exceed 15% of the entitlement grant. Note: All expenses must directly relate to the service being proposed in this request.*
- **Planning/Program Administrative Costs** - (*City Use Only*) Limited to 20% of the entitlement grant. Planning activities consist of all costs of data-gathering, studies, analyses and preparation plans. Administrative costs and carrying charges related to the planning and execution of the community development grant activities of overall program management, coordination, monitoring and evaluation.

Ineligible activities include, but are not limited to, the following:

Categorically Ineligible

- Buildings or portions thereof, used for the general conduct of government (with exclusion of the removal of architectural barriers)
- General government expenses
- Political activities, facilities or equipment

Generally Ineligible

- Purchase of equipment, furnishings or personal property (unless such items constitute all or part of a public service or are necessary for use in the administration of activities assisted with CDBG funds).
- General operating and maintenance expenses (unless associated with public service activities or office space for City program staff).
- **New housing construction** (New housing construction may only be undertaken by a **Community Based Development Organization (CBDO)**. **Please verify eligibility with the Special Projects Coordinator in the Office of Management and Budget prior to applying for new construction funding.** See CBDO definition under Special Activities by Sub-recipients)
- Income payments
- Religious activities or support of primarily religious entities.

City of New Haven CDBG Housing Funding Priorities for 2010 – 2011*

- Rehabilitation of existing housing stock with a higher priority given to bringing foreclosed properties back to the market place and back to a productive use.
- Providing pre- and post- homeowner counseling.

***Please note that CDBG funding can only be provided to organizations located in New Haven and directly benefiting New Haven residents.**

SECTION II (B)
**HOME INVESTMENT PARTNERSHIP (HOME)
PROGRAM DESCRIPTION**
(24 CFR Part 92 – HOME Investment Partnerships Program)

HOME is a federal housing block grant. HOME gives states and local governments the ability to fund a wide range of housing activities for low-income households in any neighborhood in the City. It encourages creativity and partnerships among government, private financing agencies, developers and not-for profits. Federal HOME dollars are allocated to Participating Jurisdictions. Since 1992, the City has had access to approximately \$1,500,000 each year. These funds pay for project financing and administrative costs related to the operation of the HOME program. **Funding will only be provided to housing activities within the City of New Haven.**

HOME provides affordable housing opportunities:

1. Homeowner assistance is available to households at or below 80% of the Area Median Income (i.e., \$64,000 for a family of four).
 - Homeowner purchase programs: The City currently offers deferred loans for down-payment and closing cost assistance to help homebuyers acquire formerly blighted buildings. This assistance is available to those occupying 1-4 family houses, condominiums, and cooperatives.
2. Assistance is available for multi-family rental projects where the occupants' income cannot exceed 60% of Area Median Income (i.e., \$48,180 for a family of four). Transitional housing, group housing and permanent housing may be assisted. The availability of support services for residents is encouraged and is given special consideration.
 - Developers may include not-for profit agencies, as well as private developers. The City has stated its preference for not-for-profit development, particularly for certain community-based organizations known as Community Housing Development Organizations (CHDOs).
 - Allowable activities include: acquisition, rehabilitation, construction, relocation, site improvements and project soft costs.
3. Tenant based rental assistance: The City may create a pool of funds to provide rental assistance which could operate like either Section 8 or the State RAP Program. Certificates may be made available for up to two years. Applicants may reapply at the end of the contract period. *The City does not provide this assistance at this time.*
4. HOME Funds are committed for specific projects, not potential activities, unless undertaken by a CHDO. CHDOs have access to pre-development funds to carry out certain tasks which determine the feasibility of a specific project and to gain site control. *There are limits placed upon funds available for this use.*
5. Prohibited activities:
 - Replacement reserves, project reserves, operating subsidies;
 - Tenant-Based Rental Assistance to existing Section 8 programs;
 - Public Housing (Parts 965 and 968)
 - Further investment in a HOME subsidized project except within the first year of operation or through tenant-based rental assistance;
 - Emergency Housing;
 - Payment for or reimbursement for the acquisition of City-owned property originally purchased with other federal funds.

SECTION II (C)
HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS (HOPWA)
PROGRAM DESCRIPTION
(24 CFR Part 574 – Housing Opportunities for Persons With AIDS)

HOPWA (Housing Opportunities for Persons with AIDS) is a federally funded program designed to provide States and localities with resources and incentives to devise long-term comprehensive strategies for housing assistance and services for low –income persons living with HIV/AIDS and their families. The program provides formula-based grants to eligible metropolitan areas and States based on the number of reported cases of AIDS in the area.

HOPWA funds may be used to assist all forms of housing designed to prevent homelessness for persons living with HIV/AIDS, including emergency housing, shared housing arrangements, apartments, single room occupancy (SRO) dwellings, and community residences. Appropriate supportive services must be provided as part of any HOPWA assisted housing.

The State of Connecticut has been an entitlement area since FY 1992. New Haven became an eligible Metropolitan Statistical Area in FY 1996 when it exceeded the 1500 case threshold. The number of Persons Living with HIV/AIDS (PLWHA) in New Haven County reported by the CT Department of Public Health through December 31, 2008 is 1,580. New Haven ranks second in the State with the highest number of PLWHA.

ELIGIBLE ACTIVITIES

- Housing Subsidy Assistance
 - Tenant Based Rental Assistance (TBRA)
 - Permanent and Transitional/Short Term Facility Based subsidies and operational costs
 - Short Term Rent, Mortgage, and Utility payments (STRMU)
- Housing Development
 - Facility based units developed with capital funding
 - Stewardship Units
- Supportive services (No more than 35% of the total grant request)
- Housing Placement Activities
 - Housing Information Services
 - Permanent Housing Placement, such as security deposits
- Technical assistance
- Administrative Costs (Limited to 7% of total award)

HOPWA PRIORITIES

- To maintain essential housing and supportive services for people living with HIV/AIDS.
- To ensure access to safe, permanent, affordable housing units.
- To coordinate housing services to ensure that all available housing programs are utilized effectively.
- To ensure that services are distributed and funded equitably across the entire MSA

Note: For New Haven Metropolitan Statistical Area (MSA) see instructions page 11.

SECTION II (D)
EMERGENCY SHELTER GRANT (ESG)
PROGRAM DESCRIPTION
(24 CFR Part 576 – Emergency Shelter Grants Program)

The Emergency Shelter Grant Program (ESG) is a federal block grant under the Stewart B. McKinney Homeless Assistance Act and is administered by the U.S. Department of Housing and Urban Development. ESG amounts are to be used for services to homeless individuals and families in these major categories:

- Renovation or major rehabilitation of emergency shelter facility
- Essential services, maintenance and operation of emergency shelter facility
- Development and implementation of homeless prevention activities

Since 1987, the City has received annual formula allocations ranging from **\$58,000** to **\$196,000**.

STATUTORY DEFINITIONS:

HOMELESS - An individual or family that lacks a fixed, regular and adequate nighttime residence or an individual or family that has as primary nighttime residence a privately or publicly operated shelter.

EMERGENCY SHELTER - Any facility which has as its primary purpose to provide temporary or transitional shelter for the homeless in general, or for specific populations of the homeless.

CATEGORICAL PROGRAMS:

- ◆ **Major Rehabilitation** - Rehabilitation that involves costs in excess of 75% of the value of the building before rehabilitation or conversion of a building for use as emergency shelter for the homeless.

Eligible Activities:

- Repairs directed toward an accumulation of deferred maintenance
- Replacement of principal fixtures
- Installation of security devices
- Improvements to increase the efficient use of energy in buildings
- Structural changes necessary to make the structure accessible for persons with physical disabilities

- ◆ **Renovations** - Rehabilitation that involves costs of 75% or less of the value of the building before renovations.

- ◆ **Essential Services** - Includes services concerned with employment, health, drug abuse and education.

Eligible Activities:

- Assistance in obtaining permanent housing
- Medical and psychological counseling
- Employment counseling
- Nutritional counseling
- Substance abuse treatment and counseling
- Assistance in obtaining other Federal, State and local assistance: such as SSI, SSD, VA, AFDC, GA and food stamps
- Child care, transportation, job placement and job training
- Staff salaries necessary to provide eligible services

SECTION II (D) (continued)

- ◆ **Maintenance and Operation** of a facility used as emergency shelter for the homeless

Eligible Activities:

- Insurance
- Utilities
- Furnishings

- ◆ **Homeless Prevention** - Activities and programs designed to prevent the incidence of homelessness

Eligible Activities:

- Security deposits or first month's rent
- Mediation for landlord/tenant disputes
- Legal services for the representation of tenants in eviction proceedings
- Payment to prevent foreclosure

Limitations (42 U.S. Code 11374, Title 42, Public Health and Welfare, Chapter 119 Homeless Assistance, Part B- Emergency Shelter Grants Program)

- 30% cap on prevention activities
- 30% cap on essential services
- 10% cap on staff costs

SECTION III
INSTRUCTIONS

A. Applicants

Applications will be accepted for review from two types of applicants.

1. Sub-grantees

Sub-grantees are neighborhood-based nonprofit organizations or local development corporations duly organized to undertake eligible Community Development Block Grant (CDBG), HOME, Housing Opportunities for Persons with AIDS (HOPWA), or Emergency Shelter Grant (ESG) activities on a not-for-profit basis.

In order to receive CDBG, HOME, or ESG funds such sub-grantees must be located in the City of New Haven and must carry out activities which can be documented to directly benefit low- and moderate-income persons, (i.e., provide jobs, housing, services, rehabilitation, or development of neighborhood facilities). **HOPWA is a regional grant, therefore applicants for HOPWA funds must be located within the New Haven Metropolitan Statistical Area (MSA)** (See Below).** Applications for planning activities and administrative funds are not considered to provide direct benefit to low and moderate-income persons and will not be funded. Applications from sub-grantees must address program expenses and not the overhead or administrative expenses of the sub-grantee.

Note: If approved for funding, organizations must present a Certificate of Liability Insurance for coverage in the amount of \$1,000,000 - \$2,000,000 with the City named as an additional insured before entering into contract.

All sub-grantees must provide evidence of fiscal accountability prior to entering into contract for federal Consolidated Plan funding. No funds will be awarded if the agency is in arrears with City property taxes. All sub-grantees must also provide copies of a current Financial Audit, which must be filed no later than 180 days after the close of the agencies fiscal year unless an extension is filed, and/or their most recently filed IRS 990/990EZ, dependent upon their level of funding.

2. City Departments

City departments may submit requests for CDBG, HOME, HOPWA or ESG eligible activities that support the City's overall Consolidated Plan objectives.

****NEW HAVEN METROPOLITAN STATISTICAL AREA (MSA):**

Ansonia	East Haven	Milford	Oxford	West Haven
Beacon Falls	Guilford	Naugatuck	Prospect	Wolcott
Bethany	Hamden	New Haven	Seymour	Woodbridge
Branford	Madison	North Branford	Southbury	
Cheshire	Meriden	North Haven	Wallingford	
Derby	Middlebury	Orange	Waterbury	

B. Compliance Criteria

- Does the proposal meet at least one CDBG National Objective as described in the CDBG program section (see Instructions, Page 5)?
- Does the proposal fall within the category of eligible activities as defined by HUD in the CDBG, ESG and HOPWA program description section (Instructions, SECTION II)?
- Does the proposal address all applicable performance measurements as included in the application (see Application section, pages 3-5)?
- Does the proposal meet at least one of the City's Proposed Five Year Consolidated Plan objectives found in Appendix E?

Proposals that do not meet the Compliance Criteria shown above cannot be considered for funding.

C. Evaluation Criteria

Applications meeting initial Compliance Criteria described above will be evaluated per the following:

- How critical is the need for the services or project proposed? Does the proposed activity fill an identified gap?
- Does the proposal receive or provide client referrals to other agencies?
- Do the services and/or program duplicate any others in the service area?
- Have all the tasks/objectives and the schedule of goals to be completed been clearly identified? If the applicant received funding during the 2009-2010 grant year, are the identified goals being accomplished within the time frame established by the organization?
- Does the applicant have the capacity to expend the funds requested within the program year and produce measurable outcomes?
- If the applicant has received funding in the past have their identified goals and milestones been met successfully? Will this project provide a measurable benefit to the neighborhood it serves?
- Has an estimate of necessary resources been compiled into a realistic budget? Have the proposed expenses been justified as they relate to the purpose of the funding? Is the budget separate from other activities carried out by the organization?
- Does the proposed program meet goals outlined within the application?
- If a public service, is it a new service? If not, does the application illustrate how the proposed program increases or expands current services?
- Is the program a renewal that continues to perform well and meet identified community needs?
- Does the agency have a track record in delivery of this type of program? Does the agency have the capacity to deliver the proposed program? Does the agency have the capacity to handle financial resources with adequate internal control and acceptable accounting procedures?
- Does the financial documentation provided demonstrate that the applicant is financially sound at the time of application?
- Has the organization demonstrated the ability to use City/Federal funds to leverage other funding? Organizations that have sought additional non-city funds will be given priority in the evaluation. **Note: Contracts may not be entered into until leveraged sources of funds are committed and are verified.**
- If the agency received grant funds from the City of New Haven in past years, were all City and Federal requirements as prescribed and agreed to, met?
- At what stage is the proposed project? Is the project ready to move forward, i.e., has a site been selected, is there an acquisition plan, have specifications and feasibility studies been prepared?
- Are the expenses itemized in the overall budget essential to the proposed project? Expenses that can be interpreted as general operational or administrative costs will receive a low funding priority.
- Is there a possibility of potential conflicts of interest?
- Does the ESG or HOPWA activity ensure access to safe, permanent, affordable housing units, a well-structured transitional housing system and/or appropriate supportive services which ensure access to housing?

D. Application Submission

1. Submit the original plus two copies of the completed application, with the original marked on the cover page as “**Original.**” The supportive documentation is **only** required for the original application.
2. All applications must be **submitted to the:**

**Office of Management and Budget
165 Church Street, Third Floor
New Haven, CT 06510**

**Submissions must be hand delivered to the Office of
Management and Budget no later than**

**Tuesday, November 24, 2009
5:00 p.m.**

Late applications will not be accepted.

- **DO NOT DUPLICATE APPLICATIONS PREVIOUSLY SUBMITTED. DUPLICATED APPLICATIONS WILL BE REJECTED WITHOUT APPEAL.**
- **DO NOT RETURN INSTRUCTIONS WITH THE COMPLETED APPLICATION.**
- **IF YOUR PROGRAM FITS INTO MORE THAN ONE CATEGORY YOU MUST SUBMIT A SEPARATE APPLICATION FOR EACH ACTIVITY (i.e. applying for CDBG public improvements and CDBG public service on one application is not allowable or applying for ESG and CDBG on one application is not allowable). IF TWO CATEGORIES ARE APPLIED FOR IN ONE APPLICATION THE APPLICATION WILL BE REJECTED.**
- **PLEASE READ THE DESCRIPTIONS OF THE CATEGORIES CAREFULLY. IF YOU APPLY FOR THE WRONG CATEGORY YOUR APPLICATION MAY BE REJECTED (i.e. apply for HOPWA when you meant to apply for CDBG funding or apply for CDBG: Economic Development when you meant to apply for CDBG: Public Service).**
- **THIS APPLICATION IS ALSO AVAILABLE ONLINE AT: www.cityofnewhaven.com under Government / Budget & Finance**

SECTION IV

APPLICATION FORM

APPLICANT TYPE: Sub-grantee _____ City Department _____

DATE: _____

Organization Name: _____

Organization Address: _____

City/State/Zip: _____

Contact Person/Title: _____

Telephone Number: _____

Email: _____

Applicant's Federal Employer I.D. #: _____

DUNS #: _____

Applicant's Fiscal Year: _____

INDICATE GRANT REQUESTED:

(One per application)

_____ **CDBG**
_____ **HOPWA**
_____ **ESG**

(HOME requests are submitted by a separate process through the Livable City Initiative)

ELIGIBLE ACTIVITY:

(Only one activity per application will be considered for funding. Activity must match response provided to Question #1)

AMOUNT OF FUNDS REQUESTED: \$ _____

TOTAL PROJECT COST: \$ _____

Note: All applications must be hand delivered to the Office of Management and Budget. Applications received by US Mail, UPS, Fedex etc. will not be accepted.

1.) As indicated on the preceding cover page, check the eligible activity that will be addressed by the proposed project/program. **DO NOT COMBINE TWO OR MORE ELIGIBLE ACTIVITIES. Choose only ONE activity per application.**

- _____ Acquisition Only
- _____ Economic Development
- _____ Public Facilities and/or Public Improvements (*must be permanent improvements*)
- _____ Housing Preservation, Rehabilitation
(*Only direct construction and/or rehabilitation related activities*)
- _____ New Construction (CBDOs Only)*
**Community Based Development Organizations as defined in 24 CFR 570, Subpart C, 570.204, Paragraph (c)(1)(2) and 570.207(3)(iii). See definition on Pages 5 of the Instructions.*
- _____ Public Service (*new or increased services*) as required by 24 CFR 570.201 (e) (1)
- _____ Emergency Housing/Shelter
- _____ Supportive Services/Transitional Housing
- _____ Planning & Administration (**City Use ONLY**)

2a) Project Narrative: Provide a 2-3 page description of the proposed project. Narrative should include all of the following:

- (a) **Mission Statement** - Identify the overall mission and program goals of the organization;
- (b) **Needs Statement** - Identify and document the deficiency to be addressed by the proposed project;
- (c) **Objectives, Outcomes and Indicators (see 2b-2e below)** - Identify how the proposed project will resolve the deficiency(s) identified in the needs statement and clearly establish measurable benchmarks and activities for success;
- (d) **Description of Performance Measurement:** - Describe the system or systems that are in place or that will be utilized to determine whether or not the proposed project is achieving the established outcomes. How will you measure your successes or failures? How will you determine the overall success of the proposed project?
- (e) **Activities & Methodology** - Specify tasks/activities to be undertaken to accomplish the objectives and explain how the activities will be implemented. Narrative should address only those activities necessary to implement the proposed objectives requested in this application and should establish a clear correlation between your stated objectives and the agency program goals;
- (f) **Schedule** - Provide a realistic time frame for each identified activity with estimated completion dates;
- (g) **Evaluation Plan** - Outline the procedures that will be used to measure how well the project meets its identified objectives;
- (h) **Continuation Plan** - Explain how the proposed project will continue after the requested funding ends. What are the proposed long term changes or benefits? Will the activity be monitored after completion?

Performance Measurement Monitoring and Reporting

2b) Objectives: Based on the intent of the activity, the applicant must determine which of the three objectives best describes the purpose of the activity. **(Please select only one):**

___ **Suitable Living Environment** – In general, this objective relates to activities that are designed to benefit communities, families or individuals by addressing issues in their living environment.

___ **Decent Housing** – This objective focuses on housing programs where the purpose of the program is to meet individual family or community needs.

___ **Creating Economic Opportunities** – This objective applies to the types of activities related to economic development, commercial revitalization, or job creation.

2c) Broad Quantifiable Outcomes: Which of the following outcome categories describes your program/project/activity's purpose best of all? Outcomes are defined as observable changes in people, places or things as a result of a project's outputs **(Please select only one):**

___ **Availability/Accessibility-** This outcome applies to making basic services, infrastructure, housing, shelter, or other basic needs accessible or available to low or moderate income people (to make where they live more suitable).

___ **Affordability-** This outcome applies to activities which provide affordability in a variety of ways in the lives of low and moderate income people.

___ **Sustainability: To Promote Livable or Viable Communities-** This outcome applies to projects where the activity or activities are aimed at improving a neighborhood by helping to make it livable or viable for principally low and moderate income people through multiple activities, or by providing services that sustain communities or sections of communities.

2d) Indicators: The following outcome indicators, as applicable, will be required from each grantee as part of the City's monitoring and as part of your close of year reporting. Recipients that are unable to provide measurable outcomes with observable indicators of change or progress, appropriate to the eligible category, will jeopardize future funding. Grantees must be prepared to provide the following information as applicable to their individual project.

Performance Outcome Indicators:

- Amount of money leveraged (from other public or private sources)
- Number of persons or households served
- Income levels of persons or households by very low, low or moderate income categories
- Demographic breakdown of persons or households served (racial/ethnic and disability status categories)
- Number of female-headed households served
- Number of housing units created
- Number of housing units rehabilitated (occupancy status - # of owners and # of rental units by household size and income levels)
- Number of homeless persons who obtained permanent housing

- Number of persons with HIV/AIDS who obtain supportive or permanent housing
- Number of new businesses created
- Number of businesses retained
- Number of jobs created or retained
- Number of businesses assisted through technical services
- Number of commercial facades improved or commercial structures rehabilitated
- Acreage, square footage or linear footage of infrastructure improvements

2e) All applicants are required to fill out the form on the following page describing the proposed outcomes of their proposed activity or program.

2f) After completing the following Proposed Performance Indicators/Outcomes Activity Sheet, select ONE of the following activity sheets from pages 6-17 that correspond with your requested proposal. Complete ONLY the activity sheet(s) that correspond(s) with the requested activity identified on the cover sheet and in Question 1. Discard those activity sheets that are not applicable to your proposed project. Upon completion, proceed to Question 3, Application Section, Page 18. *(Only one eligible activity per application.)*

2e) Proposed Performance Indicators/Outcomes Activity Sheet (all applicants must complete)

As appropriate, please provide the **proposed outcomes** of your project. Please be aware that as projects are implemented, **actual outcome and beneficiary information will be required** including detailed income and demographic statistics of beneficiaries, addresses where improvements are made, records of physical improvements and occupancy information of households and housing units receiving assistance. Please provide statistics for your proposed project by filling in the blanks with proposed outcomes. (Insert NA for those indicators that do not apply to your project.)

Organization: _____ **Project/Activity:** _____

- Money to be leveraged (from other public or private sources): _____
- Proposed number of persons(P) or households(H) served: _____
- Income levels of persons or households to be served:
 - # or % extremely low income _____
 - # or % low income _____
 - # or % moderate income _____
- Proposed demographic breakdown of persons or households to be served (racial/ethnic): _____
- Proposed # of Elderly and/or Disabled beneficiaries: _____
- Proposed number of female-headed households served: _____
- Proposed number of housing units created (occupancy status and units by household size and income levels will be required):
 - Total units _____
 - # of owner units _____
 - # of rental units _____
- Number of housing units to be rehabilitated (occupancy status & units by household size and income levels will be required):
 - Total units _____
 - # of owner units _____
 - # of rental units _____
- Proposed number of homeless persons who will obtain permanent housing: _____
- Number of persons with HIV/AIDS who will obtain supportive or permanent housing: _____
- Number of new businesses to be created: _____
- Number of businesses to be retained: _____
- Number of jobs to be created or retained: _____
- Number of businesses to be assisted through technical services: _____
- Number of commercial facades to be improved: _____
- Number of commercial structures to be rehabilitated _____
- Acreage, square footage or linear footage of infrastructure improvements to be made. Please describe: _____

2f. Activity Sheet #1 (continued)

Housing Preservation, Rehabilitation or Construction

9) Indicate the estimated date of completion for this proposed activity.

10) Does your organization require pre- and post-homeownership counseling? Please describe your response.

11) Please describe the on-going relationship with the homeowner and/or tenant once the project is completed. How do you monitor the success of your program?

12) Has your organization received CDBG assistance for housing rehabilitation or new construction in the past? Yes _____ No _____

13) If Yes, please list below the completed activities for the past five (5) years:

Project Addresses	Project Name	Date of Completion	Number of Units	Funding Year

2f. Activity Sheet #1 (continued)

Housing Preservation, Rehabilitation or Construction

(A) Using the form below, provide the following information *for each address* for the proposed activity.

Address	Area of Benefit	Unit Count			Identify Current Owner of Property	Owner (O) Occupied / Renters (R)	Describe Condition of Structure	Estimated Cost	Start Date	Completion Date
		At Start	At Completion	Number Occupied (at start)						
(Provide specific street address)	(i.e. specify neighborhood, City-wide etc.)					Indicate number of each per structure	(i.e. poor or fair condition, requires substantial rehab, demolition, etc.)			

When completed, continue with Question 3, Application Section, Page 18

2f. Activity Sheet #2

Economic Development

(1a) Indicate the **proposed number of businesses to be assisted?** _____

(1b) Describe **the criteria that will be used** to the select participating businesses:

(1c) How will the **proposed services be marketed or communicated** to prospective clients/businesses.

(2a) Indicate the **number of full-time and part-time jobs to be created and/or retained** for low and moderate income individuals: _____

(2b) Indicate **how family income levels are to be determined** prior to the hiring or retaining of employees?

(3a) Indicate the **procedures in place for monitoring and reporting job creation/retention statistics** of low/moderate income clients to the administering City Department.

(3b) Explain **how you will follow-up with assisted businesses** to verify the reported outcome.

(4) **Has your organization received CDBG assistance for economic development activities?**

Yes _____ No _____ **If you answered yes, indicate the following:**

Indicate each year CDBG was received in the past	Total # of jobs/ businesses created during that year	Total # of jobs/ businesses retained during that year	Total # of clients/ businesses provided with technical assistance during that year

(5) **Does the business or businesses to be assisted provide job training?**

Yes _____ No _____

When completed, continue with Question 3, Application Section, Page 18

2f. Activity Sheet #3

Public Service

(1a) Describe the proposed project and indicated the location where the services will be provided:

(1b) Will **other funds** be used to implement the proposed public service project? Yes _____ No _____

(1c) **If you answered yes**, indicate the amount and source of funds. (Sources and amounts must be indicated within the proposed budget):

Amount _____	Source of funds _____
Amount _____	Source of funds _____
Amount _____	Source of funds _____
Amount _____	Source of funds _____

(2a) Describe the **target population** (i.e. homeless, elderly, youth, disabled etc) _____

(2b) What is the **expected number of persons to be served annually** based upon intake or enrollment files (**DO NOT DOUBLE COUNT**) _____

(2c) What is the **average number of persons that will be served per session** (if applicable)? _____

(2d) What is the **maximum number of clients that can be served annually**? _____

(2e) Describe the income levels and the **method for determining income levels** of participating persons:

(3a) Indicate the **percentage of clientele by neighborhood that will be served** by the proposed project. (i.e. 35% from Fair Haven, 20% from Dixwell, 35% from West Rock) *If you have received funding in the past, please provide actual counts for total persons served and persons served by neighborhood.*

(3b) If percentages are used, explain how the percentage is determined.

2f. Activity Sheet #3 (continued)

Public Service

(3c) How is outreach to clientele achieved? How are services advertised or marketed?

(4a) Identify the **beginning and end dates of the proposed project:** _____

(4b) What are the **days and hours that the proposed project will operate:** _____

(5a) How will the proposed project **increase or expand current program and services?**

(5b) How will it **complement services currently being provided?**

(5c) Describe how and/or why the provision of the services will improve the quality of the lives of those served.

(6a) Has your organization **received CDBG assistance for public services in the past?**

Yes ___ No ___

(6b) **If you answered yes** to the above question, please provide background on how CDBG funding was utilized for the last 5 program years funds were received.

Program Years	Name or description of the program	Number of clients served for each year of funding

When completed, continue with Question 3, Application Section, Page 18

2f. Activity Sheet #4

Public Facility and/or Public Improvements

Public improvements funding can only be used for permanent improvements. Applicant must be the legal owner of the structure or be able to provide proof of a long-term lease agreement. Activity must be located in an income-eligible census tract or the facility must provide services for predominately low/moderate income clients (at least 51% of the beneficiaries).

(1a) Address of the site where proposed improvements are to take place:

(1b) Is the structure code compliant?

(1c) If the project is underway please describe and define the status of the project and the anticipated completion date.

(1d) Does this project trigger the Davis Bacon Act? If so, how does the budget reflect the additional costs, which may occur due to the increase in wages?

(1e) Does the organization own the structure?

(1f) If the property is not owned by the organization explain why the improvements are not being provided by the owner:

***If the property is not owned by the organization, please provide proof of a long-term lease agreement.**

(2) Describe the **services currently provided** by the public facility:

(3a) Describe the **population(s) served** (i.e. homeless, elderly, youth, disabled etc.):

(3b) Describe the income level of the clients being served and how income levels are determined:

(3b) **Specify the geographic area benefit.** If possible, indicate by census tract and the percentage of clients served by neighborhood. (i.e. 35% from Fair Haven, 20% from Dixwell, 35% from West Rock):

If you have received CDBG funds in the past and you have actual numbers, please provide numbers for the total population served and numbers for persons served by neighborhood.

2f. Activity Sheet #4 (continued)

Public Facility and/or Public Improvements

(4a) Has the **public facility** received CDBG assistance for **physical improvements in the past**?
 Yes _____ No _____

(4b) **If you answered yes**, indicate only the completed activities in the boxes below for the past five years:

List each year funded by CDBG in the past	Amount of CDBG funding received	Improvements made	Name of other source(s) of funding and amount funded by each source

When completed, continue with Question 3, Application Section, Page 18

2f. Activity Sheet #5

Emergency Shelter

- (1a) Indicate the **number of shelter beds/slots currently existing:** _____
- (1b) Indicate the **number of shelter beds/slots expected to be created by the proposed project:** _____
- (2a) What is the **current occupancy rate?** _____
- (2b) What is the **expected occupancy rate?** _____
- (2c) What is the average length of stay/time in the shelter and/or program? _____
- (2d) What is the number of single clients served annually (no duplications)? _____
- (2e) What is the number of families served annually (no-duplications)? _____
- (3) How does the proposed program **promote self-sufficiency?**
- (4) Specify the **procedures used in the tracking or following-up** of clientele served:
- (5a) Indicate the **number of clients that have been placed in transitional or permanent housing:** _____
- (5b) Describe the **support services available to transition clients into permanent housing:**
- (6) **If funds are to provide renovations to an existing shelter:** Specify the percentage of the cost of structural improvements in relation to the value of property.

When completed, continue with Question 3, Application Section, Page 18

2f. Activity Sheet #6

Housing for People with AIDS (HOPWA)

POPULATIONS SERVED:

The profile of those living with HIV/AIDS in New Haven County is:

- (1) 64% male; 36% female;
 - (2) 24% White; 50% Black; 25% Latino/a; and 1% Other;
 - (3) Injection drug use is the largest transmission route standing at nearly 44% of those living with HIV AIDS.
- (1) Given this profile of the MSA, compare your current client census and discuss any similarities and/or discrepancies.
 - (2) Explain how your service plan is tailored to fill service gaps identified for the populations described in the Consolidated Plan or Ryan White Statements of Need.
 - (3) Identify how many people are currently being served by the organization vs. the number of clients housed in FY 08 and FY 09 and discuss significant increases or decreases in client utilization during that time period.

DEMAND:

- (4) Describe the impact of the services to be provided by the organization based on the demand (need vs. actual service utilization) as follows:
 - Number of beds, slots or housing units and the duration of stay
 - Number of clients to receive housing assistance and the maximum duration of time the rental assistance is to be provided
 - Types and service units of supportive services (non-housing) to be provided to address the special needs of clients addressed in your needs statement, to locate, secure and maintain safe and secure housing. This narrative should reflect values in the completed HOPWA Proposed Activity Grid located at the end of the HOPWA section.

ACCESS AND ELIGIBILITY:

- (5) Describe how the organization will ensure access to housing, whether this is permanent, transitional housing or supportive services and how affordability will be ensured (beyond referral).
- (6) Describe the process for client eligibility for housing or support services including enrollment into Medicaid and other entitlements. Attach your organization's Eligibility Determination Form.

2f. Activity Sheet #6 (continued)

Housing for People with AIDS (HOPWA)

ORGANIZATIONAL CHANGES LEADING TO EXPANDED CAPACITY:

- (7) Describe any significant changes in the organization resulting in new activities (i.e., new access points, expanded client capacity, service expansion, new funding, staffing changes etc.) within the past 12 months.

PROGRAM MONITORING:

- (8) Since permanent housing and/or a stable living environment is the ultimate goal and expected outcome, describe the procedures that are in place to monitor and document the progress of clients from entrance into the program to permanent placement and beyond.
- (9) Describe the steps taken to enroll clients into supportive services programs and give an example of the programs available to help clients transition to independent living.

QUALITY IMPROVEMENT/EVALUATION AND AUDITS:

- (10) Applicants must describe current and planned activities to assure service quality and evaluate services to enable individuals to access and maintain stable living arrangements.
- (11) Describe the performance improvement system or the method for monitoring and evaluating the quality and outcomes of services provided (e.g., staff management and training, quality assurance programs, client feedback, evaluation plans, etc.).
- (12) Describe the organization's quality improvement plan and staff responsible for monitoring the plan and applicable standards. Identify key persons with expertise in quality management and program evaluation and their role(s) in conducting such activities. If external audits have been done, please include the date and results of such audits and any recommendations for improvements.

COLLABORATION:

- (13) Describe collaboration with other housing and supportive service providers within the community and its impact on improving service delivery and reducing barriers to effectively keep clients in stable housing. Provide a specific list of these providers and describe the benefit of the collaboration.
- (14) Given the array of housing and social service programs, describe what process(es) are used to avoid duplication of effort.
- (15) Identify both non-HIV/AIDS and HIV specific housing and supportive services and each organizations role to support the type of housing assistance requested in this application. Attach all relevant service agreements.

HOPWA PROPOSED ACTIVITY GRID						
	Clients to be Served by HOPWA	Households to be Served by HOPWA	HOPWA Funding Requested	Unduplicated Leveraged Households	Amount of Leveraged Funds	Source of Leveraged Funds
HOUSING						
Tenant Based Rental Assistance						
Permanent Facility Based Units						
Transitional/Short Term Facility Based Units						
STRMU						
Housing Development						
TOTAL HOUSING						
SUPPORTIVE SERVICES						
Adult Daycare/ Personal assistance						
Alcohol and Drug Abuse						
Case Management/Client Advocacy						
Child Care						
Education						
Employment Assistance and Training						
Legal Services						
Life Skills Management						
Meals/Nutritional Services						
Mental Health Services						
Outreach						
Transportation						
Adjustment for Duplication						
TOTAL SUPPORTIVE SERVICES						
HOUSING PLACEMENT						
Housing Information Services						
Permanent Housing Placement						
Adjustment for Duplication						
TOTAL HOUSING PLACEMENT						
Administration						
TOTAL						

When completed, continue with Question 3, Application Section, Page 18

All applicants must provide responses for Questions 3-15.

3.) Does the organization serve within an Empowerment Zone neighborhood? If so, indicate which neighborhood(s) and attach the letter/form of endorsement from the NIC. If not able to meet with the committee(s) prior to submission deadline, indicate the expected meeting date or an explanation stating why this could not be accomplished. (*See EZ NIC listing on Instructions, Page 2*)

4.) Describe plans for collaboration with local and state organizations or programs (i.e., local schools, city/state departments or neighborhood organizations.)

5.) Explain the eligibility criteria of participants and list any restrictions.

6.) Describe your organization's prior experience and capacity in managing similar programs. The description should include, prior accomplishments, types/volume of services previously provided.

7.) Describe and/or attach a summary of programs and/or services currently provided by your organization.

8.) List the names of all staff and the following information (including non-federally funded staff):
HOPWA applicants must enclose job descriptions for positions included in proposed activity.

Name of Staff	Title	Length of service for those who will assist in the project	Qualifications of staff (i.e. level of education, certificates etc.)

9.) Describe the types of in-service education and/or training provided to staff. Specifically, describe the training that is provided to supervisors, directors and staff involved in the implementation of the proposed activity.

10.) List all non-cash support, volunteer services, use of facilities, etc. that will support this project.

11a.) **PROPOSED PROGRAM BUDGET FORM**

All expenses **must** be NECESSARY to carry out the proposed project, providing a direct relation to the proposed project, not for day to day operation or administration of the organization.

Select the appropriate line item(s).

Line Item #	Description	CDBG Request	HOME Funds (Committed or Anticipated)	ESG Request	HOPWA Request
50110	Salaries				
50150	Unemployment Compensation				
51809	Medical Benefits				
56695	Temporary/Part Time Help				
58852	Social Security (F.I.C.A.)				
59933	Insurance – Worker’s Comp.				
	Personnel Subtotal				
53310	Mileage				
54482	Other General Equipment*				
55574	Materials & Supplies				
56610	Advertising				
56615	Printing & Reproduction				
56656	Equipment Rentals				
56694	Audit Services**				
56694	Other Contractual Services***				
58658	Acquisition				
	Non-Personnel Subtotal				
Total	FY10/11 Requested				

* All equipment purchased with CDBG funding must be reported to the City so an inventory can be maintained as required by HUD. The City has the right to reclaim purchased equipment that is not used for eligible activities.

** Applicable only if the organization expended \$500,000 or more of federal funding during the audited year.

*** A description of service that will be subject to a contract is required. Contracts must be in writing, executed and approved by the City prior to payment of expenses. Administrative and/or overhead expenses of sub-recipients are not eligible under other contractual services.

11e.) **HOUSING/PUBLIC FACILITIES/PERMANENT IMPROVEMENTS***

Complete for all open projects. {Activities started in previous year(s) but not yet completed}

**COMBINED TOTAL PROJECT FUNDING FOR OPEN ACTIVITIES PER SITE
FOR HOUSING/PUBLIC FACILITIES/PERMANENT IMPROVEMENTS ONLY**

Address	Approved Funding	Expended to date	Total Project Cost	Funding Shortfall
Totals				

Describe and define the status of each project listed above (predevelopment, construction or substantial completion (over 90% completed)) and its estimated completion date.*

If a funding shortfall exists, please provide an explanation below for each address.

***See Appendix C & D if requesting Construction or Rehabilitation Funding**

12.) Complete the following Personnel Budget for the proposed project.

PERSONNEL SERVICE DETAIL

Project Title _____

Period Covered: _____ to _____

(List each position separately)

Position or Title	Date of Hire or Date to be Hired	Total Annual Salary	Amount of Salary from this application	Indicate other funding source(s) which contribute to salary	# Hrs per Week on Project for this source of funds
Subtotal Salaries					

Fringe Benefits/Employer Taxes

Category	Cost Basis/ Calculation Detail	Amount
50150 - Unemployment Compensation		
51809 - Medical Benefits		
58852 - Social Security (FICA)/Medicare		
59933 -Insurance-Worker’s Compensation		
Subtotal Fringe Benefits and Employer Taxes		

Total Personnel & Fringes Requested	
------------------------------------------------	--

12a.) If the salaries indicated above are split between various funding sources, indicate the method used to determine the portion of salary charged to this application and the method that will be used to verify time actually spent on proposed project.

13a.) **Attach a full organizational budget for your current (2009-10) operating year, showing ALL sources and uses of funds.**

13b.) **Attach a full organizational projected (2010-11) budget, showing ALL sources and uses of funds. (NOTE: Failure to disclose all funding sources including pending applications for funding will disqualify this application.) Organizations which can document funding sources other than CDBG, HOME, HOPWA, and ESG will be given additional consideration.**

14.) **Attach the organization's most recent single audit/audited financial statement or report. *Please note that your organization must have the appropriate documentation completed and available no later than 6 months after the close of the organizations fiscal year. Organizations must provide a copy of their most recently filed IRS form 990 or 990EZ or a statement of exemption.***

15.) Indicate the local, state, regional or national accreditation that is required for the operation of your organization and/or program. When was the last accreditation or evaluation? Describe any findings.

16) SUPPORTIVE DOCUMENTATION

a.

Name of President of Board	Telephone	Signature
Name of Executive Director	Telephone	Signature
Name/Phone of Program Director	Name/Phone of person responsible for finances	
To whom should correspondence be mailed?	Address (Include ZIP)	Telephone

b. Copy of Latest Annual Report or Annual Programmatic and Financial Report

c. Applicant must attach a copy of the following:

- **State Certificate of Existence**
- **Evidence of 501(c)(3) non-profit status (*If pending, attach a copy of the application submitted*)**
- **Current copy of Personnel Policies, By-Laws, Articles of Incorporation**
- **A list of Current Board of Directors, addresses and telephone numbers**
- **Commitment Letters and/or letters of application for other funding sources for proposed activity**
- **Most recently filed IRS Form 990/Form 990-EZ**
- **Current external annual audit (*must be within 6 months of the close of the agency's fiscal year*) (*if applicable*)**
- **Disclosure & Certification Affidavit of outstanding obligations to the City of New Haven (form attached)**

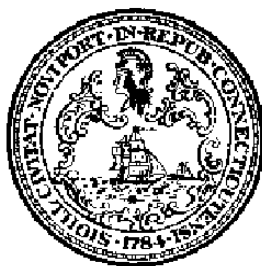
Note: Application will be subject to rejection if the above attachments are not included.

THE CITY OF NEW HAVEN
BUREAU OF PURCHASES

200 Orange Street
Room 401

New Haven, Connecticut 06510
(203) 946-8201 - FAX (203) 946-8206

JOHN DeSTEFANO, JR.
Mayor



Michael V. Fumiatti
Purchasing Agent

DISCLOSURE & CERTIFICATION AFFIDAVIT OF OUTSTANDING OBLIGATIONS TO THE CITY OF NEW HAVEN

For the purposes of this Disclosure of Outstanding Financial Obligations, the following definitions apply:

- (a) "Contract" means any Public Contract as defined below.
- (b) "Person" means one (1) or more individuals, partnerships, corporations, associations, or joint ventures.
- (c) "Public Contract" means any agreement or formal commitment entered into by the city to expend funds in return for work, labor, services, supplies, equipment, materials or any combination of the foregoing, or any lease, lease by way of concession, concession agreement, permit, or per agreement whereby the city leases, grants or demises property belonging to the city, or otherwise grants a right of privilege to occupy or to use said property of the city.
- (d) "City" means any official agency, board, authority, department office, or other subdivision of the City of New Haven.

State of _____)
County of _____) **SS.**

_____, being first duly sworn, deposes and says that:

1. I am (circle one) [owner, partner, officer, representative, agent or _____] of _____, the Contractor that has submitted the attached agreement.
(Contractor's name)

2. I am fully informed respecting the preparation and contents of the attached Agreement and of all pertinent circumstances respecting such Agreement;

3. That as a person desiring to contract with the City (check all that apply):

_____ The Contractor and each owner, partner, officer, representative, agent or affiliate of the Contractor has filed a list of taxable personal property with the City of New Haven for the most recent grand list, as required by Conn. Gen. Stat. §12-42.

_____ Neither the Contractor nor any owner, partner, officer, representative, agent or affiliate of the Contractor are required to file a list of taxable personal property with the City of New Haven for the most recent grand list, as required by Conn. Gen. Stat. §12-42.

_____ Neither the Contractor nor any owner, partner, officer, representative, agent or affiliate of the Contractor either directly or through a lease agreement, owes back taxes to the City of New Haven

_____ Neither the Contractor nor any owner, partner, officer, representative, agent or affiliate of the Contractor either directly or through a lease agreement, has any other outstanding obligations to the City of New Haven

_____ The Contractor or an owner, partner, officer, representative, agent or affiliate of the Contractor owes back taxes and has executed an agreement, satisfactory to the tax collector, to pay said back taxes in installment payments and the payments under said agreement are not in default. **The agreement shall be attached**, and incorporated herein by reference.

4. The following list is a list of the names of all persons affiliated with the business of the Contractor, if none state none. Use additional sheet if necessary (Must be on company letterhead and notarized):

Name	Title	Affiliated Company (if none state NONE)	Service or Material	DOB
1				
2				
3				
4				
5				
6				
7				

5. That as a person desiring to contract with the City:

- (a) The Contractor or an owner, partner, officer, representative, agent or affiliate of the Contractor provides, or has provided, services or materials to the City within one (1) year prior to the date of this disclosure, if none, state none. Use additional sheet if necessary
- (b) (Must be on company letterhead and notarized):

Name	Title	Affiliated Company (if none state NONE)	Service or Material	DOB
1				
2				
3				
4				
5				
6				

- (c) The Contractor possesses an ownership interest in the following business organizations, if none, state none. Use additional sheet if necessary (Must be on company letterhead and notarized) :

Organization Name	Address	Type of Ownership		
1				
2				
3				
4				
5				
6				

- (c) The following persons possess an ownership interest in the Contractor. If the Contractor is a corporation, list all of the officers of the corporation and the names of each stockholder whose shares exceed twenty-five (25) percent of the outstanding stock, if none, state none. Use additional sheet if necessary (Must be on company letterhead and notarized):

Name	Title	DOB	Stock %	
1				
2				
3				
4				
5				
6				
7				

- (d) Of the following of the affiliates, individuals or business entities identified in this affidavit, list each that owns, owned, or within one (1) year prior to the date of this disclosure has owned, taxable property situated in the City of New Haven, if none state none. Use additional sheet if necessary (Must be on company letterhead and notarized):

Name	Title	Affiliated Company (if none state NONE)	Address	DOB
1				
2				
3				
4				
5				
6				
7				

- (e) If the Contractor conducts business under a trade name, the following additional information is required: the place where such entity is incorporated or is registered to conduct such business; and the address of its principal place of business, if none, state none:

TRADE NAME	PLACE OF INCORPORATION/REGISTRY	PRINCIPAL PLACE OF BUSINESS
1		
2		
3		
4		
5		
6		

I hereby certify that the statements set forth above are true and complete, and I understand that any incorrect information or omission of information from this affidavit may result in the immediate termination of the Contractor's agreement with the City of New Haven.

(Signed) _____
Title:

Subscribed and sworn to before me this _____ day of _____, _____.

(Title)
My commission expires _____, _____.

This Form Must be Notarized

17a.) STATEMENT OF ASSURANCES

THE APPLICANT HEREBY ASSURES THE CITY OF NEW HAVEN THAT:

1. The applicant has the necessary authority to apply for and receive Federal funds and to execute a third party contract with the City of New Haven.
2. The filing of this application has been authorized by the governing body of the applicant, and the undersigned representative has been duly authorized to file this application for and on behalf of said applicant, and otherwise to act as the authorized representative of the applicant in connection with this application.
3. The activities and services for which assistance is sought under this proposal will be administered by and under the supervision of the applicant.
4. The applicant will submit monthly reports of project activities by the 10th of the following month if funding will be drawn down monthly. Applicant will submit quarterly reports covering the periods ending September 31, December 31, March 31 and June 30 if funds are approved to be drawn quarterly. Applicant will submit a final project report within 20 days of project completion or termination. Applicant will also submit such other standard or requested reports to the appropriate City agency, and will maintain accurate program records and afford access thereto by the appropriate agency or agencies of the City in order to assure the correctness of or otherwise verify reports.

Authorized Signature

Title

Date

17b.) CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies to the best of his or her knowledge and belief that:

- a. No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
- b. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form III "Disclosure Form to Report Lobbying", in accordance with its instructions.
- c. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans and cooperative agreements, and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352 title 31 U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Authorized Signature

Title

Date

17c.) STATEMENT REGARDING DISCRIMINATION

The applicant agrees and warrants that in the performance of an executed third party contract with the City that it will not discriminate or permit discrimination against religious creed, age, marital status, national origin, sex, mental retardation or physical disability, including, but not limited to, blindness, unless it can be shown by the applicant that such disability prevents performance of work involved in any manner prohibited by the laws of the United States or of the State of Connecticut, and the applicant further agrees to provide the Commission on Equal Opportunities with such information requested by the Commission concerning the employment as they relate to the provisions of this section.

I, _____ (the duly authorized representative of the applicant) do hereby certify that all the facts, figures and representations made in this application are true and correct, to the best of my knowledge and belief.

Authorized Signature

Title

Date

17d.) STATEMENT ASSURING COMPLIANCE WITH APPLICABLE ENVIRONMENTAL REGULATIONS

The use of Federal funds triggers the requirement of compliance with Federal environmental regulations developed by the Department of Housing and Urban Development (HUD). These regulations, contained in 24 CFR Part 50 and Part 58 "Environmental Review Procedures for Recipients Assuming HUD Responsibilities" (available for review in City Plan Department), require compliance with the National Environmental Policy Act (NEPA), as well as several related Federal laws, regulations and Executive Orders. In order to ensure compliance with these environmental regulations the City shall require a complete description of all physical work to be undertaken, including specifications and drawings where applicable. This information is necessary to ensure that all environmental reviews and paperwork can be completed by the City in order to satisfy HUD requirements. No funds will be released or vouchers paid for physical activities unless environmental clearance has been obtained from HUD. NO construction activities may occur without formal notification from the City that the release of environmental conditions has occurred.

All physical projects must comply, where applicable, with environmental requirements, guidelines and statutory obligations in the following areas, as outlined in 24 CFR Parts 50 and 58, Historic Properties Protection; Floodplain Management and Wetland Protection; Coastal Zone Management Requirements; Sole Source Aquifer Protection; Wildlife, Endangered Species, and Wild and Scenic River Protection; Water Quality Regulations; Air Quality; Solid Waste Management Regulations; Farmland Protection; and other HUD Environmental Standards.

All work plans will be reviewed to ensure compliance with applicable environmental standards. The following sections briefly outline the statutory compliance areas which will affect most physical activities undertaken with CDBG funds.

Historic Properties: All properties to be rehabilitated, renovated, demolished or physically changed in any manner will be reviewed to determine if they are contained on the New Haven Historic List. If a structure is contained on the Historic List, rehabilitation or renovation activities must adhere to the National Secretary of the Interior's Standards for Rehabilitation. Any proposed activity which does not adhere to the Secretary of the Interior's Standards must be reviewed by the Connecticut State Historic Preservation Office (SHPO) prior to commencement of the activity. All requirements outlined by SHPO and, where necessary, the Advisory Council on Historic Preservation, must be met before funds can be released. These requirements also pertain to demolition activities.

Air Quality/Asbestos Abatement: Prior to any rehabilitation, demolition or heating and ventilation improvement activity, all areas to be disturbed must be inspected for the presence of asbestos containing materials (ACM's). If asbestos is found in areas to be disturbed, all asbestos-containing materials must be completely removed by a NESHAP certified asbestos removal contractor and disposed of in accordance with all local, State and Federal laws and requirements prior to the commencement of any construction or demolition work. All records documenting compliance with local, State and federal laws and regulations must be presented to the City prior to the commencement of any construction activity to obtain the release of funds. If the inspection determines that no asbestos is present in the areas to be disturbed, a signed letter stating the date of inspection and the absence of asbestos must be presented to the City.

Lead-Based Paint Abatement: Prior to the rehabilitation of any residential structure or non-dwelling facility commonly used by children under seven years, all applicable surfaces of units constructed prior to 1978 shall be inspected to determine if lead-based paint surfaces exist. If defective lead-based painted surfaces are present, notification and abatement, in accordance with all local, State and Federal laws and regulations must occur prior to the release of funds. If no lead-based paint is present, a signed letter, stating the date of inspection, the name of the inspector, and the absence of lead-based paint, must be presented to the City. The City's Department of Health provides all inspection services for asbestos and lead in relation to funded projects.

Other Applicable Statutory Requirements: If a property to be rehabilitated is located within a flood zone, wetland area or coastal zone, the proposed project must be reviewed to ensure consistency with applicable local, State and Federal regulations. If the subject property is located in an airport clear zone or within an industrial/commercial area the project must be reviewed to ensure that any potential site safety hazards are addressed.

To the best of your knowledge:

Does the proposed project area contain lead-based paint?

_____ Yes _____ No _____ Unsure

Does the proposed project area contain asbestos containing materials?

_____ Yes _____ No _____ Unsure

As the applicant, the undersigned assures the commitment to compliance with the environmental Regulations outlined by HUD.

Authorized Signature

Title

Date

17e.) STATEMENT ASSURING COMPLIANCE WITH DAVIS BACON & RELATED ACTS

STATUTORY PROVISIONS

Davis-Bacon Act and “Related Acts” apply to contracts in excess of \$2,000 in which HUD funds are utilized for construction-related activities which involve the employment of laborers and/or mechanics.

Such HUD-assisted construction contracts must contain federal labor standards provisions with respect to minimum wages, fringe benefits, payments without deductions or rebates, withholding funds from contractors to ensure compliance with the wage provisions, and termination of contract or debarment for failure to adhere to the required provisions. Exceptions to the Davis-Bacon requirement include:

- Contracts \$2,000 or less;
- Section 8 housing with fewer than nine units, or which is built or rehabilitated prior to any agreement between the Secretary of Public Housing Agency and builder or sponsor for its use;
- Rehabilitation of residential property designed for residential use by 1-8 families; and
- Construction of residential property designed for residential use by 1-12 families.

REGULATORY PROVISIONS

The City of New Haven has responsibility for day-to-day labor standards enforcement in administering HUD-assisted programs. Third party recipients are responsible for ensuring compliance with federal labor standards.

LABOR STANDARDS REQUIREMENTS

A construction project covered by Federal labor standards requires that the City of New Haven (with the assistance of the third-party recipient) take a series of specific actions prior to the actual start of construction. Those actions include:

- a) providing a detailed scope of services to obtain an applicable wage determination for the project;
- b) including the wage determination (and any modifications) in the bid documents;
- c) adding any job classification needed but not listed in the wage determination;
- d) including appropriate labor standards provisions and the wage determination in the construction contract;
- e) holding a pre-construction conference to explain labor standards;
- f) checking the prime contractor for eligibility status.

WAGE DECISIONS

All construction bid documents and contracts or similar instruments covered by Federal labor standards must contain a current and applicable federal wage decision issued by the U.S. Department of Labor.

NOTE: Updated project wage decisions must be requested if delays of more than 60 days occur in the bidding or contract award process.

CONTRACTOR ELIGIBILITY

Prior to awarding any contract, third party recipients must contact City of New Haven project staff to verify contractor eligibility and that contractor is not included on HUD list of debarred contractors.

PRECONSTRUCTION CONFERENCE

The City of New Haven representatives shall hold a conference with the principal contractor and all available subcontractors prior to the start of construction at which time they are advised of their responsibilities and obligations regarding the labor standards provisions and the wage determination contained in the contract documents.

CONSTRUCTION START

The City of New Haven project staff must be advised in advance of the construction start date.

WEEKLY PAYROLLS

Each contractor and subcontractor and any lower-tier subcontractor must submit (through the prime contractor) weekly payrolls for each work week from the time work is started on the project until it is completed. Weekly payrolls must be numbered sequentially, and the last payrolls marked “Final”.

As the applicant, the undersigned assures commitment to compliance with the Davis-Bacon Act and Related Acts.

Authorized Signature

Title

Date

17f.) STATEMENT ASSURING COMPLIANCE WITH HUD ACT OF 1968

STATUTORY PROVISIONS

Section 3 of the HUD Act of 1968 applies to contracts in excess of \$200,000 or where contracts to contractors are in excess of \$100,000 in which any HUD funds are utilized for construction, renovation and rehabilitation activities, including lead paint, regardless of ownership. Such HUD-assisted contracts must contain Section 3 provisions with respect to employment and other economic opportunities, withholding funds from sub-recipients to ensure compliance with the Section, and termination of contract or debarment for failure to adhere to the required provisions.

REGULATORY PROVISIONS

The City of New Haven has responsibility for day-to-day enforcement in administering HUD-assisted programs. Third party recipients are responsible for ensuring compliance with Section 3.

SECTION 3 DEFINITIONS

Section 3 Residents are defined as low-income persons who live in the area in which a HUD-assisted project is located.

Section 3 Businesses are defined as those:

- a. Where at least 51% ownership is by Section 3 residents; or
- b. Which employ at least 30% Section 3 residents in full-time positions; or
- c. Which subcontract in excess of 25% of the total dollars awarded to businesses which provide economic opportunities to low income persons.

HIRING & CONTRACTING REQUIREMENTS

Training and employment and contracting opportunities generated by HUD-assisted activities covered under Section 3 must be directed toward low-income persons.

Training and employment is required, to the greatest extent feasible, at all job levels and Section 3 residents must be employed as new hires.

- 1. For public housing programs Section 3 requires that the aggregate number of new hires/training opportunities be 30% of the residents. Contracting preferences must be provided for Section 3 businesses, evaluating businesses on other than price alone.*(Refer to Section 3 appendices for established guidelines).
- 1. 10% of the dollar amount for building trades work
- 2. 3% of the dollar amount for all other businesses.

*NOTE: HUD examines employment and contract records for evidence of actions taken to train and employ Section 3 residents and to award contracts to Section 3 businesses.

As the applicant, the undersigned assures commitment to compliance with Section 3 - HUD Act of 1968.

Authorized Signature

Title

Date

18.) POLICY STATEMENT

ACCESSIBILITY TO FACILITY & SERVICES

ORGANIZATION: _____

All entities receiving funding from the federal government must comply with Section 504 of the Rehabilitation Act of 1973 which prohibits discrimination based on disability, requires program accessibility for persons with disabilities, accommodations for persons with disabilities and the development of a grievance procedure, self-evaluation and transition plan. Facilities may also be required to comply with the applicable accessibility standards depending on time of construction or renovations. Generally, a self-evaluation is an assessment of barriers for persons with disabilities within the applicant's organization and a transition plan is a plan to eliminate the barriers identified in the self-evaluation.

The Americans with Disabilities Act applies to most funding recipients and also requires non-discrimination based on disabilities and various levels of accommodations. Additionally, the ADA precludes the City of New Haven from entering into a contract with any entity that discriminates based on disability.

To ensure that persons with disabilities have access to all the programs and services that benefit from federal funding the City of New Haven will require grantees to present to the City a copy of its grievance procedure, self-evaluation and transition plan prior to entering into a contract with the City. Additionally, the contract will require the grantees to agree to comply with both the applicable sections of the Rehabilitation Act of 1973 and the ADA.

Applicants and grantees may contact the Department of Services for Persons with Disabilities for technical assistance. The City will provide training to grantees on accessibility for persons with disabilities and the barrier-elimination planning process prior to entering into a contract with the City of New Haven.

Applicants may want to include in their application costs associated with compliance with the applicable accessibility requirements of the above referenced federal laws.

Please describe how the applicant provides program access for persons with disabilities:

Please describe the applicant's accessibility for persons with physical disabilities:

Please identify the individual in the applicant's organization responsible for insuring persons with disabilities have access to the applicant's services:

Has the applicant provided any special training for its staff on serving persons with disabilities? Yes No

If "Yes" when was the last training session? _____

Does the applicant currently have a grievance procedure? Yes No

Has the applicant already prepared an accessibility self-evaluation? Yes No

Has the applicant already prepared a transition plan to become accessible? Yes No

Does the applicant conduct outreach efforts for the disability community regarding its programs and services? Yes No

If "Yes" please describe:

Does the applicant track the number of persons with disabilities utilizing its programs and/or services? Yes No

If "Yes" please describe:

FACILITIES COMPLIANCE INFORMATION

(Complete answers separately for each building or facility from which applicant operates)

Facility: _____

Address: _____

Own Rent

If the applicant rents, does your lease allow for making the facility accessible? Yes No

Date built: _____

Date of last renovation: _____

If renovated, please describe the type of renovations:

Check each accessibility element already installed or in use by applicant:

- | | | | |
|---------------------|--------------------------|------------------------------|--------------------------|
| Handicapped Parking | <input type="checkbox"/> | Telephone TTY/TDD | <input type="checkbox"/> |
| Ramps | <input type="checkbox"/> | Water Fountains | <input type="checkbox"/> |
| Entrances | <input type="checkbox"/> | Elevators | <input type="checkbox"/> |
| Door widths | <input type="checkbox"/> | Lowered Counters | <input type="checkbox"/> |
| Signage | <input type="checkbox"/> | Assisted Listening Device | <input type="checkbox"/> |
| Restrooms | <input type="checkbox"/> | Other, Please specify: _____ | |

✓ *Applicant Checklist*

<input type="checkbox"/>	Cover Page (Application Section, page 1)
<input type="checkbox"/>	Application Form (Questions 1 – 15)
<input type="checkbox"/>	<p>Statements and Certifications</p> <p>Item 16. Supportive Documentation (see below)</p> <p>Item 17. Disclosure & Certification Affidavit of Outstanding Obligations to the City of New Haven</p> <p>Item 17a. (Statement of Assurances)</p> <p>Item 17b. (Certification Regarding Lobbying)</p> <p>Item 17c. (Statement Regarding Discrimination)</p> <p>Item 17d. (Statement – Applicable Environmental Regulations)</p> <p>Item 17e. (Statement – Davis Bacon & Related Acts)</p> <p>Item 17f. (Statement – HUD Act of 1968)</p> <p>Item 18. (Accessibility Policy Statement)</p>
<input type="checkbox"/>	<p>Supportive Documentation:</p> <ul style="list-style-type: none"> • State Certificate of Existence • Evidence of 501(c)(3) non-profit status • Personnel Policies, By-laws, Articles of Incorporation • Current Board of Directors, addresses and telephone numbers • Commitment Letters or Letters of Application for other funding sources • Current external annual audit (<i>if applicable</i>) • Most recently filed IRS Form 990/990 EZ • Disclosure & Certification Affidavit

Effective 3/2009

Appendix A

Income Limits

<i>Family Size</i>	<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>	<i>7</i>	<i>8</i>
80% Low Income	44,800	51,200	57,600	64,000	69,100	74,250	79,350	84,500
60% Limits	33,720	38,520	43,380	48,180	52,020	55,860	59,760	63,600
50% Very Low Income	28,100	32,100	36,150	40,150	43,350	46,550	49,800	53,000
30% Limits	16,850	19,300	21,700	24,100	26,050	27,250	29,900	31,800
	<i>Eff</i>	<i>1-br</i>	<i>2-br</i>	<i>3-br</i>	<i>4-br</i>	<i>5-br</i>	<i>6-br</i>	
Rents*								
Fair Market Rent	774	915	1,101	1,316	1,430	1,645	1,859	
Low HOME Rent Limit	702	752	903	1,043	1,163	1,285	1,405	
High HOME Rent Limit	774	915	1,101	1,316	1,430	1,589	1,721	

Note: All Home Program participants must be below 80% of the area median.
 90% of all renters must be below 60% median.

Appendix B

HOME FUNDING PROCESS

Interested Sponsors/Developers will be asked to complete a Developer's Package that should include the following information:

1. Identification of Sponsor/Developer including names of principals and staff, development track record, designation as CHDO, if applicable, proof of 501 (c)(3) status, if applicable, identification of architectural, engineering, accounting, legal and any other consultants participating as part of the development team, and a recent developer's audited financial statement. Names, resumes, addresses, and telephone numbers should be included. If your organization has submitted this information to us previously, you do not need to re-submit it.
2. Description of the Proposal including the location, type of housing proposed, number of units (assisted and unassisted units), size of units (number and distribution by bedroom size) current ownership of the property, ownership of property after project completion, and plans for ongoing management of property.

Indicate whether the project is consistent with the City's Consolidated Plan for Housing and Community Development.

Indicate whether the developer has site control and what form (attach documentation).

Provide a map identifying project site, a preliminary sketch for new construction or photograph for rehabilitation, site plans and elevations if possible. Is the property zoned for the project you proposed? Is the property located within an Urban Renewal Area, Enterprise Community, or other revitalization area?

Attach a time schedule for the development of the project including planning, acquisition, construction, marketing and close-out.

Describe whether or not this plan has been discussed with neighborhood groups and any elected officials. Please provide any letters of support.

Please provide income distribution of current and/or future occupants (an approximation is sufficient, at this time). What measures will you take to prevent permanent relocation? Will temporary relocation be needed?

3. Project Financing including completed pro-forma showing sources and uses for (a) pre-development costs (if you are requesting City assistance only), (b) development costs and (c) ongoing operations (unless units are to be sold). Please attach documentation for all commitments of funding from other sources, and list any restrictions this funding brings.

Once these items are complete the following will occur:

- The completed Developer's Package will be submitted to LCI where it will be reviewed and evaluated for completeness and for consistency with the Consolidated Plan and with other City priorities outlined in the Application Review.
- The appropriate neighborhood corporation and/or Aldermanic representative will be notified of any approved proposals and will be invited to review and submit comments to LCI about the project. LCI will forward complete submissions including comments from neighborhood groups to the Mayor.

Terms of a Development Financing Agreement

A contract must be entered into between the City and the Developer, which spells out the terms and conditions of financial assistance for a project. Project Specifications will be attached as an exhibit to the contract. Certification of tenant income, Affordability criteria, and unit inspection requirements are dictated by Federal statute and HUD regulations and will be incorporated into every project contract. Part II of the City of New Haven Contract for Third Party Services will be attached to and incorporated into performance requirements which concern Equal Opportunities, Fair Housing, Environmental Compliance, Handicapped Accessibility, etc. HOME Program rents (if applicable), tables and guidelines established in 24 CFR §92.252 will be attached to and into the Agreement.

Application Review

LCI will review each application, first, to determine that it meets several basic threshold requirements, and second, to prioritize it according to how fully it meets these requirements and how closely it matches the City's other priorities.

THRESHOLD REQUIREMENTS: To be considered for funding, a project must at a minimum meet the following conditions:

- A. Capacity and Track Record of Applicant: Does the proposed development team have the qualifications, the capacity, and the demonstrated capabilities to make it reasonably likely that they will be able to carry out a successful project?
- B. Project Feasibility: Is the project's overall financial plan and the assumptions it is based upon reasonable and sound?
- C. Suitability of Project: Is the project in a location that is suitable for its proposed use?
- D. Consideration of Larger Neighborhood Plan: Is there a broader neighborhood based plan into which the project fits which addresses other blighted or problem properties nearby?
- E. Basic Affordability: Are the proposed rents or prices within the range that is affordable to low-to-moderate income households, in conformance with the guidelines of our funding sources?
- F. Completeness of Application: Has the applicant submitted all the information LCI has asked for in the application?

OTHER PRIORITIES:

- A. Readiness to Proceed: How close is the project to getting underway, based on the thoroughness of the overall plan and the level of commitment from other funding sources?
- B. Local Support and Involvement: How supportive are neighbors, local community groups, and others who may have an interest in the project? How involved has the community and/or the project's future residents been in the development of the project?
- C. Need: Is there a real, demonstrated need for the proposed type of housing in the proposed location?
- D. Efficient Use of City Funds: Is the per-unit amount of City funding requested reasonably low? Has the applicant sought out other available sources of funding?
- E. Long-Term Affordability: Will the units continue to be affordable to low-to-moderate income households well into the future?
- F. Long-Term Upkeep: How likely is it that the property will continue to be well-maintained well into the future?
- G. Job Creation: Will the project create employment opportunities for local low income residents?
- H. MBE/WBE Goals: Will the applicant promote the use of minority and women owned business enterprises, and promote the hiring of minorities and women as part of the workforce?
- I. Blight Removal: Does the project involve the improvement of currently blighted buildings or areas?

Appendix C
Energy Star Qualified Homes
Achieving the Energy Star Qualification

ENERGY STAR qualified homes are either built or substantially rehabilitated (gut rehab) to strict energy-efficiency guidelines using tried-and-true technologies and construction practices. Because ENERGY STAR qualified new homes use substantially less energy through more efficient heating, cooling, and water heating equipment, occupants can expect to save about \$200-\$400 annually on their utility bills.

Any single-family or multifamily residential building that is three stories or less in height can qualify to receive the ENERGY STAR label. This includes traditional site-constructed homes as well as modular, systems-built (e.g., insulated concrete forms, structural insulated panels), and HUD-code manufactured homes. To earn the label, a home must be least 30% more energy-efficient in its heating, cooling and water heating than a comparable home built to the 1993 Model Energy Code (MEC), and 15% more efficient than the state energy code as determined by a third party Energy Star Certified Inspector.

The City is in the process of incorporating Energy Star requirements into its third party agreements as recommended by HUD for both the HOME and CDBG programs. The following language is being considered for incorporation into the City's RFPs and/or procurement processes for CDBG and HOME new construction and gut rehabilitation projects per HUD recommendation.

“All new and gut rehab residential buildings up to three stories shall be designed to meet the standard for Energy Star Qualified New Homes (≤ 80 on the **HERS** Rating Scale). All Procedures used for this rating shall comply with National **Home Energy Rating System** guidelines.”

Appendix D
Small Business Enterprise

City of New Haven Ordinance Article 12—1 Small Business Initiative requires that all construction contractors aggressively make every effort to obtain twenty-five (25%) percent of the City funding for MBE subcontracting.

Appendix E

Goals, Objectives and Priorities for the Proposed 2010-2014 Five-Year Plan

The Strategic Plan portion of the Consolidated Plan contains a description of the City's overall goals and objectives for housing and community development; outlines proposed projects, programs and activities to meet needs; describes proposed accomplishments and milestones and describes the City's method for measuring performance and project monitoring.

As a result of its many ongoing planning processes, New Haven has developed a vision for the future of the City which strives to achieve the three goals embodied in its federal entitlement programs. These goals are to:

- Provide Decent Housing
- Provide a Suitable Living Environment
- Expand Economic Opportunity

The City's broad-based objectives for meeting its housing and community development needs are as follows:

OBJECTIVE: To preserve and improve the existing housing stock.

OBJECTIVE: To improve access to a range of choices of safe, supportive and affordable housing opportunities for all New Haven citizens where they become part of diverse neighborhood environments.

OBJECTIVE: To stabilize neighborhoods through the enforcement of property maintenance, code enforcement, and the removal of blight.

OBJECTIVE: To improve access to quality homes for low- and moderate- income families.

OBJECTIVE: To encourage sustainable green building designs into the construction of new housing stock or the renovation of existing housing stock.

OBJECTIVE: To stabilize neighborhoods in response to the decline in the existing housing market and prevent housing foreclosures by offering support services, education and technical assistance to existing homeowners and first time homebuyers.

OBJECTIVE: To create a regional approach to housing and housing related services while coordinating and improving interagency collaboration.

OBJECTIVE: To partner with local and regional agencies in order to achieve the goals and objectives for sustainability within existing and new developments within the city.

OBJECTIVE: To provide a continuum of care system of supportive housing opportunities that provide safe shelter while homeless children, youth, families, and individuals work their way toward self-sufficiency.

OBJECTIVE: Develop additional critically needed flexible housing options principally benefiting very low, low and moderate-income persons and families including transitional, supportive and permanent housing.

OBJECTIVE: To promote housing along with supportive services and economically sustainable professional/personal and retail services for low- and moderate-income families.

OBJECTIVE: Increase the number of housing units accessible to persons with disabilities.

OBJECTIVE: Provide supportive housing for persons with special needs (e.g. persons with HIV/AIDS, the elderly, persons with disabilities, persons with mental health illnesses and persons with other chronic illnesses).

OBJECTIVE: To support healthy aging in place for low-income seniors in new housing developments.

OBJECTIVE: To support health-conscious, community-friendly neighborhood revitalization activities in targeted neighborhoods.

OBJECTIVE: To empower individuals (including children and youth) and families and strengthen neighborhoods through the provision of public services facilities and policies.

OBJECTIVE: To provide equal access to all City residents.

OBJECTIVE: To find a balance between historic preservation, anti-blight improvements, revitalization and the provision of affordable housing.

OBJECTIVE: To assist in the retention and creation of jobs for low- and moderate-income residents of New Haven.

OBJECTIVE: To provide for the expansion of livable wage jobs and economic opportunity as the foundation for neighborhood revitalization.

OBJECTIVE: To develop and market New Haven as a center for technology-based industry, health-minded enterprises and child/youth friendly endeavors.

OBJECTIVE: To create affordable and accessible childcare facilities for working families.

OBJECTIVE: To enhance the technical skill set of local residents through workforce training and career development opportunities and to encourage the creation of jobs that match the skill set of these residents.

OBJECTIVE: To support cultural development.

OBJECTIVE: To promote new mixed use opportunities with retail and shopping closer to housing and transit oriented developments.

OBJECTIVE: To explore opportunities for traffic calming projects and street grid connectivity within the city, where feasible.

OBJECTIVE: To create new bike routes within the city and thus provide opportunities for multimodal transportation for the residents.

OBJECTIVE: To create a suitable and health-conscious living environment by encouraging streetscape enhancements, pedestrian links, and building and infrastructure improvements where necessary.

Housing and Community Development Funding Priorities:

As a result of past experience, a multi-phase needs analysis and thorough planning processes, the City has developed a number of funding priorities to guide its housing and community development activities over the five year Consolidated Plan strategy period. These priorities and the objectives outlined above are used to guide program/project selection and the allocation of funding. They are as follows:

Housing and Community Development Funding Priorities:

- Preservation and rehabilitation of existing housing stock serving low and moderate income persons and families
- Production of more decent affordable housing through acquisition, rehabilitation, rental subsidies, and home ownership incentives;
- Improved access to homeownership for low- and moderate-income families.
- Development of additional critically needed flexible housing options principally benefiting very low, low and moderate income persons and families including transitional and permanent housing;
- Increase the number of housing units accessible to persons with disabilities;
- Provision of emergency housing and services to homeless individuals and families seeking shelter including children and youth;
- Provision of prevention and maintenance services to families and individuals to reduce the risk of becoming homeless;

- Provision of support services, education and technical assistance to existing homeowners and first time homebuyers to prevent housing foreclosures.
- Provision of supportive housing for persons with special needs (e.g., persons with HIV/AIDS, the elderly, persons with disabilities);
- Develop services that target at-risk populations, particularly substance abusers, during the transition from homelessness or institutional settings to permanent housing;
- Create additional supportive services to prevent and reduce homelessness within the community, providing transportation when required, and offering flexible hours.
- Creation of a regional approach to housing and housing related services while coordinating and improving interagency collaboration.
- Provision of a continuum of housing and related support services to expand housing opportunities for special needs and low and moderate income individuals and families.
- Retention and creation of additional living wage jobs with benefits for low and moderate income residents of New Haven;
- Expansion of living wage jobs and economic opportunity as the foundation for neighborhood revitalization; including micro-enterprise development (businesses employing five or fewer individuals);
- Creation of affordable and accessible child care facilities for working families
- Enhancement of the technical skills residents through workforce training and career development opportunities and creation of jobs that match the skill set of trained residents.
- Promotion of mixed-use opportunities, combining retail, services and shopping closer to housing and transit oriented developments.
- Creation of suitable, health-conscious living environments by incorporating streetscape enhancements, traffic/connectivity improvements, pedestrian links, and building and infrastructure improvements where necessary.
- Acquisition, Relocation, Demolition and Disposition activities in support of eligible activities that support the City's priorities;
- Elimination and remedy of adverse conditions caused by vacant or abandoned buildings in blighted or dilapidated condition;
- Stabilization of neighborhoods through the enforcement of property maintenance, code enforcement and the removal of blight;
- Improvements to or development of public facilities which further the City's overall Consolidated Plan and development efforts in regard to the City's low and moderate income children, the elderly, persons with disabilities and those with special health care needs;
- Provision of Public Services that promote and enhance opportunities for self-sufficiency among low and moderate income families or which provide for an unaddressed fundamental need of the low and moderate income family or individual; and
- Planning in support of the City's overall Consolidated Plan and development efforts.

Appendix F Reasons for Application Rejection

Applications will be rejected for the following reasons:

Please initial the line next to each item to verify your acknowledgement.

- Applications that have not been hand delivered to the Office of Management and Budget by **Tuesday, November 24, 2009 at 5:00 p.m.** Applications received by US Mail, UPS, Fedex etc. will not be accepted.
- Application fails to provide a current IRS Form 990 or 990EZ or statement of exemption
- Application fails to provide its Current Single Audit / Audited Financial Statement
- Application fails to provide its Bylaws
- Application fails to provide a listing of its Current Board of Directors
- Application fails to provide its Personnel Policies
- Application will be rejected if it does not clearly state purpose, goals and outcomes and project schedule
- Applications for new construction of housing must be reviewed by Management and Budget for eligibility prior to submission
- Agencies that request more than one eligible activity in the same application
- Application fails to provide the Organization's overall budget
- Application fails to provide applicable signed copies of the Statements of Assurances and Certifications
- Application fails to include a signed notarized disclosure and certificate affidavit
- Application must meet the City's goals, objectives and priorities
- Must attend Ethics and Conflicts of Interest Training and provide documentation of attendance. Workshop to be held on November 18, 2009 at 10:00 a.m. in the Aldermanic Chambers, 165 Church Street (see page 50)
- Submission of a duplicate application from a previous year

MANDATORY WORKSHOP

ETHICS AND CONFLICT OF INTEREST

**REQUIRED FOR ALL AGENCIES APPLYING FOR
CDBG, ESG, HOME AND HOPWA FUNDING**

NOVEMBER 18, 2009 from 10:00 AM – 12:00 PM

**CITY HALL, 165 CHURCH STREET,
ALDERMANIC CHAMBERS**

Certification of Attendance will be distributed to attendees and must be included when submitting the funding application.

Please send only one representative from your agency.