

2010 DUTCHESS COUNTY COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

MUNICIPAL APPLICATION

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2010 PROGRAM YEAR
DUTCHESS COUNTY CONSORTIUM MEMBERS

<u>Towns</u>	<u>Towns</u>	<u>City/Villages</u>
Amenia	Pine Plains	Beacon
Beekman	Pleasant Valley	Fishkill
Clinton	Poughkeepsie	Millbrook
Dover	Red Hook	Millerton
Hyde Park	Rhinebeck	Pawling
LaGrange	Stanford	Red Hook
Milan	Unionvale	Rhinebeck
North East	Wappinger	Tivoli
Pawling	Washington	

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**COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
2010 APPLICATION TIMETABLE**

July 10, 2009	Application Kits Released to Municipalities and Human Service Agencies
July 20, 2009 - October 2, 2009	Technical Assistance, Municipal Public Hearings
Week of August 10, 2009	First County Public Hearing
Friday, October 2, 2009	2010 Program Year Application Deadline
October 5, 2009 - October 23, 2009	Eligibility Determinations, Reviews, Site Visits
October 26, 2009 - November 6, 2009	Community Development Advisory Committee Review and Funding Decisions
October 26, 2009 - January 8, 2010	Completion of the draft 2010 Action Plan
December 1, 2009 - December 31, 2009	30-day Comment Period
Week of December 14, 2009	Second County Public Hearing
January 7, 2010 - January 8, 2010	Processing of Comments

January 11, 2010

Submission of the final
2010 Action Plan to HUD

January 12, 2010 - Feb. 25, 2010

HUD 45-day Consolidated
Plan Review & Approval
Process

March 1, 2010

Start of the 2010 Program
Year

CD BLOCK GRANT 2010 PROGRAM YEAR PRIORITIES

Welcome to the 2010 Community Development Block Grant Program year. The CDBG Entitlement status of the county program is that of an Urban County Consortium, which comes into existence through the voluntary participation formalized through a Cooperation Agreement, between the County and local town, village and city governments. The funds are allocated on a competitive basis to the municipalities that participate.

The current program objectives by priority were established during the 2008-2012 Consolidated Plan process in conjunction with the Dutchess County Community Development Advisory Committee, which is comprised of three chief elected officials of local municipalities who are members of the Urban County Consortium; and four community representative members from the areas of local government, economic development, housing and human service. The detailed program priorities are attached. These objectives are consistent with the primary and other national objectives of the CDBG program and have been developed in accordance with CDBG rules and regulations.

A summary of the program objectives includes the following priorities: Affordable Housing, Economic Development, Public Facilities and Infrastructure Improvements, and Public Services. Other Consolidated Plan priorities also include Homeless Housing/Services, Anti-Poverty Strategy, Lead-Based Paint, Housing Opportunities for Persons with AIDS, Special Needs, and Barriers to Affordable Housing.

The overall approach toward selection of Community Development projects is to permit each consortium community to define its own needs and to develop programs to meet these concerns. This approach, based on local autonomy in assessing community development needs, is consistent with the decentralized philosophy of the Housing and Community Development Act of 1974.

In order to implement the main objective of the program, that being to benefit low to moderate income persons, and focus the funding toward targeted groups and priorities, the Community Development Advisory Committee has adopted the attached priorities.

The County has an obligation over the 2008-2012 five-year period covered by the Consolidated Plan to address all of the Community Development Block Grant Program priorities in the Plan.

COMMUNITY DEVELOPMENT PRIORITIES

A. Introduction

Dutchess County

Priority will be given to CDBG projects that:

- contain an affordable housing component;
- multi-jurisdictional projects; and
- projects that are leveraged with other funding sources.

For public service projects, priority will be given to services that directly or indirectly relate to job creation and affordable housing.

All projects funded by the County must be consistent with applicable County Plans, including Directions and the Greenway Plan.

B. Dutchess County Strategic Plan

Priority: **Affordable Housing**

Strategies:

- Utilize CDBG and HOME funds to support affordable housing initiatives in communities that are pursuing development consistent with County initiatives, including creation of new town centers; redevelopment of former psychiatric centers, downtowns, and brownfields; and adaptive reuse of existing buildings. Priorities include rental and owner-occupied housing with a slight priority to rental housing. Within rental housing, priority will be given to rental housing that meets the needs of young people (under 55) and families. Priority will also be given to rental projects that meet the housing needs of the chronically homeless.
- Provide CDBG or HOME funds for infrastructure improvements to support development of affordable housing.
- Provide rehabilitation assistance to low and moderate income seniors, including loans and deferred loans of up to \$20,000 to income eligible senior citizens.
- Utilize HOME funds to provide downpayment and closing cost assistance and housing counseling services for first time homebuyers.
- Continue to examine housing needs, issues and opportunities, including the reoccupancy of foreclosed homes.
- Support the efforts of public housing authorities and Section 8 program.
- Encourage the use of zoning techniques to encourage the provision of affordable housing.
- Encourage the development of privately financed housing projects that offer a variety of housing types.

Priority: Economic Development

Strategies:

- Foster redevelopment of brownfields and formerly industrial used sites.
- Support redevelopment of the three former State psychiatric centers, with adaptive reuse of existing buildings, as well as new development that addresses housing and economic development needs.
- Utilize CDBG funds to upgrade older downtown centers, including improvements to existing buildings, facades, businesses and infrastructure, and support the creation of new mixed-use downtown areas, consistent with local planning objectives.
- Promote transit-oriented development (TOD) at railroad station locations where higher densities of development are appropriate, given multiple transportation options.
- Provide funding for affordable housing projects and transportation facilities that support economic development activities.
- Provide administrative funds to assist in the administration of the Empire Zone program.

Priority: Public Facilities and Infrastructure Improvements

Strategies:

- Develop infrastructure improvement projects that directly support revitalization, affordable housing and innovative land use planning and design for low and moderate income populations.
- Encourage projects that leverage CDBG funds with other funding sources, including multi-year financing plans. Pursue projects that are designed to serve multiple jurisdictions.
- Provide funding for utility improvements in municipalities where a comprehensive program of public facilities, housing, brownfield remediation and historic preservation is being pursued.
- Support improvements to stormwater systems, retaining walls, bridges and other features needed in low and moderate income areas to address periodic flooding and resident safety.
- Support improvements to parks, playgrounds and other outdoor and indoor recreation facilities, including the rail trail, where such facilities serve low and moderate income areas with a priority to projects where residents can walk to facilities.
- Support rehabilitation or construction of eligible public and quasi-public buildings and facilities, particularly as part of a downtown revitalization program.
- Remove architectural barriers to enable handicapped accessibility at eligible buildings and facilities, including municipal buildings, polling places and recreation sites.
- Improve historic buildings and properties within the context of CDBG eligibility criteria.

Priority: Public Services

Strategies:

- Support and fund programs that provide supportive services and financial education to assist individuals and families to reach financial stability and maintain long-term housing.
- Support and fund efforts to maintain emergency, transitional and homeless housing projects to serve populations in need.
- Provide support to adult literacy, financial literacy, job training and English as a Second Language programs to assist low and moderate income persons gain skills needed for employment.

- Support and fund programs that promote the well-being of youth and young adults with an emphasis on providing job training, education and literacy skills.
- Support programs that provide senior transportation for medical opportunities, errands and socializing.
- Increase resources needed to meet the basic needs (i.e. food, shelter, domestic violence and child abuse services) of the growing unserved population.
- Support programs including early intervention programs that help children (0 to 6 years old) meet development milestones in preparation for kindergarten.
- Expand existing programs and develop new programs to address chemical dependency issues, especially for teens.

C. Other Consolidated Plan Strategies

Priority: Homeless Housing/Services

Strategies:

- Utilize HOME funds for the construction or rehabilitation of permanent rental housing for the chronically homeless.
- Prevent homelessness and enable the formerly homeless to sustain housing by promoting prevention, outreach and support resources.
- Support and fund supportive services programs that serve homeless and non-homeless individuals with chemical and or alcohol dependencies, domestic violence victims, youth, veterans, and the general population homeless.
- Encourage and support existing homeless shelters to deal with the increasing number of people who are turned away from existing shelters due to lack of capacity.
- Support implementation of the Continuum of Care (COC) goals

Priority: Anti-Poverty Strategy

Strategies:

- Provide Section 8 rental assistance and maintain public housing.
- Provide assistance to homeless facilities and individuals, utilizing HOME funds.
- Continue the Section 8 Family Self Sufficiency (FSS) program to teach self-help skill to low income families with children.
- Target public services to low-income families, including improving access to the Earned Income Tax Credit.

Priority: Lead-Based Paint

Strategies:

- Section 8 Inspectors will continue to identify lead based paint issues in any units with children under the age of six as well as all Federally subsidized rehabilitation projects.
- Continue on-going coordination with the Dutchess County Health Department to determine the incidence of lead poisoning in children and where abatement is required.
- Keep abreast of EPA certified training sessions on lead based paint.
- Include lead abatement programs are any adaptive reuse project.

Priority: Housing Opportunities for Persons with AIDS

Strategies:

- Maintain funding to agencies providing rental assistance.
- Maintain a community-wide approach to forming partnerships with non-profits and service providers.
- Leverage HOPWA projects with related supportive services.
- Provide linkages to health care and other services through coordination with the DC Department of Health, DC HIV Services Planning Council and health service agencies.
- Expand efforts to create safe adequate and affordable housing opportunities that meet the special needs of person with HIV/AIDS and their families.

Priority: Special Needs

Strategies:

- Continue to provide assistance to senior citizens and other special needs populations through a range of public services.
- Remove architectural barriers at public facilities and within homes of persons with physical disabilities.
- Provide public service agencies with funding to support special needs populations, consistent with City and County priorities.
- Provide rental assistance to Persons with HIV/AIDS through the HOPWA program.

Priority: Barriers to Affordable Housing

Strategies:

- Utilize CDBG, HOME and other HUD funds to support the construction or rehabilitation of affordable housing, making certain that some new construction projects occur outside low and moderate income areas and areas with minority concentrations.
- Provide counseling and financial assistance to first time homebuyers and renters.
- Promote zoning and regulatory approaches that foster affordable/workforce housing, including: (a) inclusionary zoning, with set-asides or bonuses for affordable units; (b) small lot and multi-family zoning; (c) streamlined approval processes for projects that address important planning needs; (d) zoning for accessory apartments and apartments above retail uses in downtown areas, etc.
- Provide funding to assist localities with inclusionary zoning development and implementation.
- Promote affordable housing components as part of the redevelopment of the three former State Psychiatric Centers and as part of the development of downtown areas.
- Utilize the resources of the DC Planning Department, the DC Economic Development Corporation, City of Poughkeepsie Development and Planning Department, and DC County Planning Federation to promote affordable housing, suggest creative zoning and combat NIMBYism.

**COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
2010 PROGRAM YEAR
MUNICIPAL GUIDELINES**

The following policies and procedures have been developed by the Community Development staff in conjunction with the Dutchess County Community Development Advisory Committee as a means of providing a comprehensive set of guidelines for the implementation of the Community Development Block Grant Program.

Please take these procedures into consideration when submitting your application. The categories are in alphabetical order, not in order of occurrence.

ADMINISTRATIVE COSTS

Administrative fees paid to consultants for implementing Community Development projects is limited to 10% of a project's cost.

Eligible administrative fees include application development, preparation and processing of required documents, and attendance at pre-construction conferences. Please note that municipal personnel are not eligible to be reimbursed for time spent administering the CDBG program.

Administrative fees will include application development not to exceed \$250 per project. Fees for applications not awarded Community Development funding will not be eligible for reimbursement.

AMENDMENTS

It is not permissible to amend the scope of an approved project. However, it is possible to amend budget items within an approved project.

Municipalities considering amending budget item(s) are required to contact Elizabeth Doyle, Community Development Administrator to discuss the change and the procedure for submitting the budget amendment.

APPLICATION DEADLINE

One original of each application is to be submitted to the Community Development Office, **Dutchess County Department of Planning and Development, 27 High Street, Poughkeepsie, NY 12601 by 5:00 p.m., Friday, October 2, 2009.**

After the submission deadline, the application will be reviewed to determine whether or not it is complete. If an application lacks certain technical items or contains a technical error, such as an incorrect signature, the applicant will be verbally notified that it has ten (10) calendar days from the date of verbal notification to correct the technical error. If the applicant fails to submit the missing material within the 10-day period, the application will be disqualified.

APPLICATION REVIEW AND APPROVAL

The application process is a competitive one. Attached are the 2010 established priorities of the program and the detail of the review process.

The review process for applications from municipalities requesting funding is as follows. Each application is initially reviewed to verify whether it meets the mandatory federal eligibility requirements. A site visit is then conducted and a staff evaluation of the application is completed. This evaluation takes into account many factors, including the timetable of the application, the proposed budget, other funding sources, and overall project feasibility as it relates to the requirements and scope of the Community Development Block Grant Program.

Each application receives a preliminary funding recommendation summary which is presented to the Community Development Advisory Committee. The committee reviews the recommendations and requests for additional information are provided by the Community Development staff. Final funding determinations are recommended by the Community Development Advisory Committee to the Dutchess County Executive, the final authority for the allocation of program year funds.

CONSOLIDATED PLAN PRIORITIES

The County has an obligation over the 2008-2012 five-year period covered by the Consolidated Plan to address all of the Community Development Block Grant Program priorities in the Plan. Therefore, the Community Development Advisory Committee reserves the right to fund projects as necessary in order to meet this objective.

CONSORTIUM MEMBERSHIP

Every three years, the Urban County Consortium is reformed and municipalities have the option of continuing to participate in the Community Development Block Grant Program. Any municipality that

is not currently a member of the consortium is ineligible to apply for funding from the CDBG program or make use of the various programs funded by CDBG.

EXTENSIONS

A municipality will receive a letter six months prior to the contractual project completion date as a reminder that the date is approaching. Should a municipality wish to request an extension, this extension request must be submitted in writing upon receiving the notification of the project completion deadline.

The staff, in cooperation with the Community Development Advisory Committee, will review the extension request and will make the final determination as to whether the extension is to be granted. The CD staff will respond by letter informing the municipality of the decision.

Only one extension per project will be entertained by the Community Development Advisory Committee.

GUARANTEED ALLOCATIONS

The City of Beacon is guaranteed a 15% allocation of the 2010 program year total CDBG grant award. The 15% allocation is based upon the total CDBG grant after the deduction of a portion of the County administrative line. As the city does receive a lump sum allocation, all 2010 program guidelines apply to city CDBG funded projects with the exception of maximum grant award and number of projects submitted. Specific limitations are not set for these two categories due to the nature of the city's CDBG funding.

HUMAN SERVICE AGENCIES

Applications from human service agencies for program services serving residents county-wide should be submitted directly to the Dutchess County Department of Planning and Development. If a human service agency is applying for a physical structure improvement/construction project, those activities are required to be sponsored by the municipality in which the project is located.

Please be advised that the Community Development Advisory Committee has determined that fifteen (15) percent of the 2010 total allocation will be set aside for human service program service activities.

MAXIMUM GRANT AWARD

The maximum grant award for an Affordable Housing, Infrastructure, Transportation, or Economic Development activity is \$150,000; and \$100,000 for Handicapped Accessibility, Parks and Recreation, and Historic Preservation projects.

Please note that this is not a guarantee that an activity will necessarily receive the maximum amount if it is requested.

NUMBER OF PROJECTS SUBMITTED

There is a limit of one (1) application that may be submitted by a municipality, with the exception that a second application may be submitted if it is for an eligible housing project. It is required that the municipality, contact Elizabeth Doyle, Community Development Administrator for an eligibility determination prior to submitting the housing application.

PAYMENT REQUESTS

Payments requests submitted for reimbursement must not be for less than \$250, with the exception of the final request, which may be for a lesser amount. The administrative time spent processing smaller requests is not cost-effective.

PRE-DEVELOPMENT COSTS

Architectural, engineering and design costs for each individual project will be limited to 10% of that project's final approved allocation, with the exception being a project that is solely for one of those activities.

PROJECT COMPLETION

Funds allocated for municipal and sponsored projects must be expended within eighteen months from the contractual project completion date.

The date of the start of the program year for municipalities is contingent upon federal administrative actions and will be part of the contract between the municipality and the county. The official federal program year start date is March 1, 2010.

PROJECT COMPLETION RECAPTURE POLICY

When a project is 100% complete and the final Request for Payment

has been processed, should there be funds remaining in that project account they will be recaptured and placed in the cost overruns account.

The municipality will be contacted by telephone to verify that the project is, in fact, 100% complete and all costs have been submitted. This will be followed up with a formal letter stating that the remaining amount has been recaptured. Recaptured funds will be reallocated during each annual application cycle.

PROJECT PREPARATION AND IMPLEMENTATION

Pages 13 through 16 of this application kit outline the steps required prior to a project beginning and those required during implementation. Please refer to this overview for reference when completing an application so that the project will be viable taking into consideration these federal requirements.

PUBLIC HEARING

To be in accordance with federal regulations, the municipality must hold a public hearing to discuss the intended use of Community Development funds. It is required that a copy of the public notice, the meeting minutes and the resolution be submitted with the application. An application which is received on the required date that does not document that a public hearing was held prior to the application due date will be considered ineligible and will not be considered for possible funding. A sample resolution is Appendix E, page 40 of this packet.

Municipalities are required to invite representatives from all proposed projects to the hearing. In this way, full participation is guaranteed.

SITE VISITS

Community Development staff, in cooperation with the Dutchess Community Development Advisory Committee, will make site visits to proposed projects as necessary before final funding determinations are made.

TECHNICAL ASSISTANCE

Community Development staff are available to provide technical assistance at all times during the application process. Municipalities may also use engineers, planners or other professionals to assist in the application preparation.

FEDERAL REQUIREMENTS

PROJECT PREPARATION & IMPLEMENTATION

- * Project plans and bidding specifications must be submitted to the CD division for review and approval prior to public bidding or force account work beginning.
- * The CD division must be notified of the bid publication date, and the bid opening date.
- * The municipality examines the bids for errors; if none are discovered, the lowest responsible bid should be recommended for the contract award.
- * The bid list must be submitted to the CD division for review and approval prior to the actual award.
- * A pre-construction meeting is required for both force account and contracted labor projects. Attendees include the municipality, the contractor, any sub-contractors and the applicable CD staff.
- * Written change orders must be signed by the municipality, the contractor and the applicable CD staff.
- * The applicable CD staff will conduct periodic inspections of the project.
- * Procurement procedures are required to be followed accordingly as outlined below.

PROCUREMENT

All procurement transactions, regardless of whether by sealed bids or by negotiation must be conducted in a manner that provides maximum open and free competition.

There are six (6) potential types of procurement activities:

1. Third Party Informal Bid Construction Contracts (Under \$7,000);
2. Third Party Formal Bid Construction Contracts (Over \$7,000);
3. Procurement of Supplies, Materials, & Equipment (Under \$5,000);
4. Procurement of Supplies, Materials, & Equipment (Over \$5,000);

5. Leasing Equipment with an Operator;
6. Retaining Professional Services.

Each procurement activity has a list of requirements that must be followed and documents that must be submitted to our office.

1. THIRD PARTY INFORMAL BID CONSTRUCTION CONTRACTS (Under \$7,000)

- a. Submit bid plans and specifications for review and approval.
- b. Send a written request including specifications to bidders.
- c. Obtain three (3) written price quotes for contracts over \$1,000; or two(2) quotes for contracts under \$1,000.
- d. State and federal wage rates apply for contracts over \$2,000. Wage rates will be mailed to the municipality upon approval of the project's plans.
- e. Submit the list of bids received for review and approval prior to the actual award. The CD division will verify contractor eligibility.
- f. A written contract must be executed between the municipality and the contractor.
- g. A pre-construction meeting must be held. Attendees include the municipality, the contractor, any sub-contractors and the applicable CD staff.
- h. The CD staff must conduct employee interviews if the contract is over \$2,000.
- i. Payroll sheets must be submitted by the contractor and sub-contractors, weekly, if the contract is over \$2,000.

2. THIRD PARTY FORMAL BID CONSTRUCTION CONTRACTS (OVER \$7,000)

- a. Submit bid plans and specifications for review and approval.
- b. State and federal wages rates apply for contracts over \$2,000. Wage rates will be mailed to the municipality upon approval of the project's plans.

- c. Place a bid advertisement in a local paper.
- d. Submit the list of bids received for review and approval prior to the actual award. The CD division will verify contractor eligibility.
- e. A written contract must be executed between the municipality and the contractor.
- f. A pre-construction meeting must be held. Attendees include the municipality, the contractor, any sub-contractors and the applicable CD staff.
- g. The CD staff will conduct employee interviews on the job site.
- h. Payroll sheets must be submitted by the contractor and sub-contractors weekly.

3. PROCUREMENT OF SUPPLIES, MATERIALS, AND EQUIPMENT (UNDER \$5,000)

- a. Solicit three (3) quotes from qualified sources asking for written price quotes.
- b. If expenditure is under \$1,000, then only two (2) written proposals are required.

4. PROCUREMENT OF SUPPLIES, MATERIALS, AND EQUIPMENT (OVER \$5,000)

- a. Submit bid specifications for review and approval.
- b. Place bid advertisement in a local paper.
- c. Submit list of bids received for review and approval prior to the actual award.
- d. A written contract must be executed between the municipality and the firm.

5. LEASING EQUIPMENT WITH AN OPERATOR

- a. Submit bid specifications for review and approval.
- b. Send a written request including specifications to bidders.
- c. Solicit three (3) quotes from qualified sources asking for written price quotes.
- d. State and federal wage rates apply for contracts over \$2,000. Wage rates will be mailed to the municipality upon approval of bid specifications.
- e. The CD staff must conduct an employee interview if the contract is over \$2,000.

6. RETAINING PROFESSIONAL SERVICES

- a. Place bid advertisement in a local paper or send letter to at least three (3) sources requesting statements of qualification. The statements of qualification are required to be due on a specific date and time. All statements of qualification are to be submitted in a sealed envelope. The opening date and time is to be specified in the bid advertisement.
- b. The award is to be made to the responsible firm whose proposal is most advantageous to the program, with price and other factors considered.
- c. A written contract must be executed between the municipality and the professional firm.

DUTCHESS COUNTY
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
2010 MUNICIPAL APPLICATION

Municipality: _____

Chief Elected Official: _____

Signature: _____

Contact Person: _____

Title: _____

Telephone No.: _____

2010 Project Title: _____

Funds Requested: _____

1. NATIONAL OBJECTIVE - Please check the appropriate National Objective (See Appendix A, pg. 28 for details regarding National Objectives).

___ 1. Benefitting Low and Moderate Income Persons

- | | |
|--------------------------|---|
| a. ___ Area Benefit* | c. ___ Housing Activities** |
| b. ___ Limited Clientele | d. ___ Jobs Creation or
Retention Activities |

___ 2. Aiding in the Prevention or Elimination of Slums or Blight

___ 3. Meeting other Community Development Needs Having
a Particular Urgency

*If a project is an Area Benefit:

- 1) Obtain a copy of the appropriate road map;
- 2) Mark location of project on the map;
- 3) Attach map to the application.

**Refer to pages 24 to 27 of Application for Housing Exhibits for completion.

2. PROJECT BUDGET SUMMARY

Total amount of Project \$ _____

Total amount requested from Dutchess County CDBG \$ _____

Minimum amount of funds you would accept and project could still be completed as scheduled. \$ _____

Total from other sources \$ _____

Please attach evidence of other funding (commitment letter, copy of budget or award).

3. PROJECT DESCRIPTION

a. Projected Accomplishments:

b. Provide the address of the project. Attach a road map indicating project location. Indicate the census tract(s) and block group(s) of the project location and surrounding area.

c. The 2000 HUD Low-to-Moderate Income Census Data is Appendix G, pg. 42. Please contact Elizabeth Doyle, Community Development Administrator, at the Department of Planning & Development at(845) 486-3600 to obtain the following low and moderate income census information.

Total Population of Project Area : _____

Total Number of low/moderate income persons benefitted: _____

Percent of low/moderate income persons benefitted: _____

d. Discuss the need for the project.

e. Describe how the project will benefit low and moderate- income persons.

f. Detail the Personnel Requirements, including project staff and consultants.

g. Describe how the project will be evaluated and/or inspected.

4. PRIOR FUNDING OF PROJECT:

Has the project been funded before? _____ Yes _____ No

If yes, when? _____

List sources.

The amount of funding? _____

Briefly describe the current status of project and results, including amount spent and achievements to date. Include any information on major changes in scope of budget which the project has undergone.

5.PROJECT SCHEDULE:

How long will it take to accomplish this project? List all the steps and give duration of each. Remember that funds applied for with this application will not be available until March 2010.
(The project must be completed within the applicable timeframe; see 2010 Program Guidelines, pg. 11.

A. PUBLIC INFRASTRUCTURE PROJECT BUDGET

	<u>CD FUNDS</u>	<u>OTHER FUNDS</u>	<u>TOTAL COST</u>
	<u>REQUESTED</u>	<u>(Specify Source)</u>	
1. Project Administration			
- consultant fees (provide estimate hrs/rate)	_____	_____	_____
- advertising	_____	_____	_____
- legal	_____	_____	_____
- other	_____	_____	_____
2. Pre-development (Engineering/Architectural)			
- project specifications	_____	_____	_____
- inspections	_____	_____	_____
- estimating	_____	_____	_____
- other	_____	_____	_____
3. Acquisition	_____	_____	_____
4. Demolition			
- force account (town/village/city labor)	_____	_____	_____
- contracted labor	_____	_____	_____
5. Construction			
- force account (town/village/city labor)	_____	_____	_____
- contracted labor	_____	_____	_____
- materials(provide estimate of cost breakdown below)	_____	_____	_____

6. Other (Specify)			

B. PUBLIC INFRASTRUCTURE PROJECT SCHEDULE

DATE:

1. RETAINING PROFESSIONAL SERVICES

Public Advertisement/Request for Proposals _____

Contract Execution _____

Project Start _____

Project Completion _____

Final Request for Payment/Close-Out _____

2. FORMAL & INFORMAL BID CONSTRUCTION CONTRACTS:

Bid Process/Solicitation of Quotes _____

Procurement of Supplies/Material/Equipment _____

Pre-Construction Conference _____

Notice to Proceed/Project Start Construction _____

Final Field Inspection/Project Completion _____

Final Request for Payment/Close-Out _____

3. FORCE ACCOUNT WORK:

Work Plan/Specifications _____

Procurement of Supplies/Material/Equipment _____

Notice to Proceed/Project Start _____

Construction _____

Final Field Inspection/Project Completion _____

Final Request for Payment/Close-Out _____

C.ENVIRONMENTAL SURVEY

The CD Division completes an environmental review for each project funded with CDBG dollars. The environmental review must be completed before construction can begin. At the beginning of the environmental review process the project is classified and areas of compliance determined.

A project can be classified as one of the following types: exempt, categorically excluded, and environmental assessments. Exempt projects require minimal review. Most CDBG projects are categorically excluded (CE) since they have some impact on the environment. A CE environmental review takes 2-4 months. Projects classified as environmental assessments have significant impact on the environment and take 3-7 months to complete.

The most common areas of compliance include: floodplain, wetland, historic properties/districts, coastal zone and endangered species. Projects located in or adjacent to these areas must secure the necessary clearances before the environmental review can be completed.

More detailed information on the environmental review process is located on page 35 of the application guidelines. Projects with outstanding environmental issues will be notified in writing upon preliminary approval of the project.

1. Include a tax parcel map showing the specific location of the project: _____

If the project is located on a specific parcel of land note the Tax parcel number: _____

D. HOUSING EXHIBIT

1. Type of activity funds are to be used for:

- Pre-Development
- Acquisition
- Rehabilitation

2. Number of units to be created:

- Type of units to be created: For-sale homeownership
 Rental

3. Control of Property: Deed Option Contract
Provide documentation of site control.

4. Check all required planning/zoning approvals.

- Use/Area Variance Parking Variance
- Special permit Rezoning
- Site plan approval Building permit

5. List any necessary infrastructure improvements?

6. List the target income group: _____
List the target rent/sales price: _____
Does rent include utilities? Yes No

7. Complete the following project schedule. Costs may not be incurred until March 1, 2010

Date

- Drawings/specification to County /____/____
- Drawings/specification approved /____/____
- Bidding begins /____/____
- Bidding ends /____/____
- Contractor chosen /____/____
- Construction begins /____/____
- Construction ends /____/____

8. Complete Exhibits 1, 2, 3, 4 and 5 (Development Budget, Rental Housing Pro-forma, Proposed Funding Sources, Construction Costs).

DEVELOPMENT BUDGET (Exhibit 1)

	BANK	EQUITY	CDBG	OTHER	TOTAL
ACQUISITION/REFINANCING					
Acquisition/Refinancing	\$	\$	\$	\$	\$
Other	\$	\$	\$	\$	\$
Total	\$	\$	\$	\$	\$
CONSTRUCTION COST					
Contractor Price	\$	\$	\$	\$	\$
Contingency @ ___%	\$	\$	\$	\$	\$
Total	\$	\$	\$	\$	\$
PROFESSIONAL FEES					
Legal	\$	\$	\$	\$	\$
Eng/Architect Fees	\$	\$	\$	\$	\$
Bank Eng/Arch Fees	\$	\$	\$	\$	\$
Environmental Review	\$	\$	\$	\$	\$
Total	\$	\$	\$	\$	\$
CLOSING AND OTHER FEES					
Bank Commitment Fee	\$	\$	\$	\$	\$
Appraisal	\$	\$	\$	\$	\$
Bank Legal	\$	\$	\$	\$	\$
Title	\$	\$	\$	\$	\$
Mortgage Tax	\$	\$	\$	\$	\$
Mortgage Insurance	\$	\$	\$	\$	\$
Survey	\$	\$	\$	\$	\$
Other _____	\$	\$	\$	\$	\$
Total	\$	\$	\$	\$	\$
CARRYING COSTS					
Construction Interest	\$	\$	\$	\$	\$
Real Estate/Water/Sewer Taxes	\$	\$	\$	\$	\$
Insurance	\$	\$	\$	\$	\$
Utilities	\$	\$	\$	\$	\$
Marketing	\$	\$	\$	\$	\$
Other _____	\$	\$	\$	\$	\$
Total	\$	\$	\$	\$	\$
TOTAL DEVELOPMENT COST	\$	\$	\$	\$	\$

POST-REHABILITATION RENTAL HOUSING PRO-FORMA (Exhibit 2)

SOURCES OF INCOME		Monthly	Annually
Residential Income			
Gross Monthly Income (GMI)	\$		
Vacancy (____% of GMI)	\$		
Net Monthly Income (GMI - Vacancy)		\$	\$
Commercial Income			
Gross Monthly Income (GMI)	\$		
Vacancy (____ % of GMI)	\$		
Net Monthly Income (GMI - Vacancy)		\$	\$
Total Sources of Income		\$	\$
USES OF INCOME			
Taxes		\$	\$
Water and Sewer		\$	\$
Insurance		\$	\$
Payroll		\$	\$
Cleaning/Exterminating		\$	\$
Utilities (leave blank if paid by tenant)		\$	\$
Utilities common areas		\$	\$
Management		\$	\$
Painting		\$	\$
Repairs/Replacement		\$	\$
Landscaping/Garbage		\$	\$
Legal/Accounting		\$	\$
Building Reserve		\$	\$
Other _____		\$	\$
Total Uses of Income		\$	\$
NET OPERATING INCOME (Sources - Uses)		\$	\$

PROPOSED FUNDING SOURCES (Exhibit 3)

Bank/Agency	Amount of Funding	Status of Commitment
	\$	
	\$	
	\$	
	\$	
	\$	
	\$	

CONSTRUCTION COSTS (Exhibit 4)

Item	Cost
General Conditions	\$
Demolition	\$
Site Work	\$
Concrete	\$
Masonry	\$
Metals	\$
Carpentry	\$
Roofing and Insulation	\$
Doors and Windows	\$
Finishes	\$
Equipment (appliances, cabinets, misc)	\$
Plumbing	\$
Heating and Ventilation	\$
Electrical	\$
Other	\$
Total	\$

APPENDIX A

OVERVIEW OF ELIGIBILITY REQUIREMENTS

In order to be eligible for funding under the Community Development Block Grant Program, an activity must qualify as meeting one of three national objectives of the program. This requires that each activity meet specific tests for either:

1. Benefiting low and moderate-income persons.
2. Aiding in the prevention or elimination of slums or blight;
3. Meeting other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community and other financial resources are not available to meet such needs.

A. NATIONAL OBJECTIVES

1. Activities benefiting low and moderate income persons.

Activities considered to benefit low and moderate income persons are divided into four categories:

- a. Area benefit activities
- b. Limited clientele activities
- c. Housing activities
- d. Job creation or retention activities

1.a.) An area benefit activity is one which meets the needs of low and moderate income persons residing in an area where at least 51% of the residents are low and moderate income persons.

There are also a number of blocks within municipalities which qualify.

An applicant also has the option of conducting a field interview to prove that a particular activity is located in and/or will benefit an area or population of 51% or more low and moderate income persons.

1.b.) A limited clientele activity is one which benefits a specific group of people, at least 51% of whom are low and moderate income persons. To qualify under this category, the activity must benefit a clientele who are generally presumed to be principally low and moderate income persons. The following groups are currently presumed by HUD to meet

This criterion:

- Abused Children
- Elderly Persons
- Battered Spouses
- Homeless Persons
- Adults Meeting Bureau of Census' Definition of Severely
- Disabled Persons
- Illiterate Adults
- Persons Living with AIDS
- Migrant Farm Workers

It is also possible to qualify a limited clientele activity by three additional methods:

- Require information on family size and income so that it is evident that at least 51% of the clientele are persons whose family income does not exceed the low and moderate income limits.
- Have income eligibility requirements which limit the activity exclusively to low and moderate persons.
- Be of such nature and location that it may be concluded that the activity's clientele will primarily be low and moderate income persons.

1c.) A low and moderate income housing activity is one which adds or improves permanent, residential structures which will be occupied by low and moderate income households upon completion.

1d.) A low and moderate jobs activity is one which creates or retains permanent jobs, at least 51% of which are either taken by low and moderate income persons or considered to be available to low and moderate income persons.

2. Aiding in the prevention or elimination of slums or blights.

A slum or blighted area must meet the definition of a slum, blighted, deteriorated or deteriorating area under state or local law and there must be a substantial number of deteriorating or dilapidated buildings throughout the area.

3. Meets an urgent need.

To comply with the national objective of meeting community development needs having a particular urgency, an activity must

be designed to alleviate existing conditions which the grantee certifies:

- Pose a serious and immediate threat to the health or welfare of the community.
- Are of recent origin or recently became urgent.
- The grantee is unable to finance on its own.
- Other resources of funds are not available.

B. ELIGIBLE ACTIVITIES

1. Acquisition of real property.

2. Disposition.

3. Public facilities and improvements including acquisition, construction, reconstruction, rehabilitation or installation of:

- shelter for persons having special needs (shelters and transitional facilities/housing for the homeless, nursing homes, convalescent homes, hospitals, halfway houses for runaway children, drug offenders or parolees, group homes for the developmentally disabled, and shelters for disaster victims)

- streets, sidewalks, curbs and gutters
- parks and playgrounds
- water and sewer lines
- flood and drainage improvements
- parking lots
- neighborhoods facilities and firehouses

4. Clearance including: demolition, removal of buildings and improvements, or movement of structures to other sites.

5. Public Services including:

- Child care
- Health Care
- Job Training
- Recreation Programs
- Education Programs
- Public Safety Services
- Fair Housing Activities
- Services for senior citizens
- Services for homeless persons
- Drug abuse counseling and treatment
- Energy conservation counseling and testing

6. Interim Assistance

7. Privately-Owned Utilities: including acquisition, reconstruction, rehabilitation, or installation.

8. Housing Rehabilitation
9. Construction of Housing
10. Code Enforcement
11. Special Economic Development
12. Microenterprise Assistance
13. Special Activities by Community-Based Development Organizations (CBDOs)
14. Homeownership Assistance
15. Planning and Capacity Building

C. INELIGIBLE ACTIVITIES

1. Buildings or portions thereof, for the general conduct of government, (except for the removal of architectural barriers).
2. General government expenses.
3. Political activities.
4. Purchase of Equipment
 - a. The purchase of construction equipment is ineligible, however, compensation for the use of such equipment through leasing, depreciation, or use allowances is an eligible use of CDBG funds.
 - b. Fire Protection Equipment is eligible as it is considered an integral part of a public facility.
 - c. The purchase of equipment, fixtures, motor vehicles, furnishings, or other personal property not an integral structural fixture is generally ineligible.
5. Operating and Maintenance Expenses
 - a. Ineligible maintenance activities and repair for which CDBG funds may not be used include the filling of pot holes in streets, repairing of cracks in sidewalks, the mowing of recreational areas, and the replacement of street light bulbs.
6. Housing Income Payments.

APPENDIX B

OVERVIEW OF ECONOMIC DEVELOPMENT INITIATIVES

A. PRIVATELY-OWNED UTILITIES

CDBG funds may be used to:

- . Acquire
- . Reconstruct
- . Rehabilitate; or,
- . Install

the distribution lines and facilities of privately-owned utilities, provided such activity meets a national objective of the program.

B. INTERIM ASSISTANCE

CDBG funds may be used for interim assistance activities provided those activities meet a national objective of the program. There are two categories of interim assistance activities:

(1) The first category covers limited improvements to a deteriorating area as a prelude to permanent improvements. To qualify under this category:

- . The area must be exhibiting objectively determinable signs of physical deterioration.
- . The grantee must determine that immediate action is needed to arrest the deterioration and that permanent improvements will be undertaken as soon as practicable. Documentation of that determination must be maintained.

(2) The second category covers activities to alleviate an emergency condition. To qualify under the second category:

- . The grantee's chief executive officer must determine that emergency conditions threatening the public health and safety exist in the area and require immediate resolution. Documentation of that determination must be maintained.

C. COMMERCIAL OR INDUSTRIAL REHABILITATION

CDBG funds may be used to finance the rehabilitation of commercial or industrial buildings, provided such rehabilitation meets a national objective of the CDBG program.

The rehabilitation of a commercial or industrial building owned by a private for-profit business may qualify under the "Rehabilitation" category only if the rehabilitation is limited to improvements to the exterior of the building and the correction of code violations. Further improvements to such a building will have to meet the requirements of the "Special Economic Development" category.

Commercial or industrial rehabilitation does **not** include:

- . Costs of equipment or furnishings
- . Other personal property not an integral structural fixture
- . Installation of luxury items

D. SPECIAL ECONOMIC DEVELOPMENT

CDBG funds may be used for the following special economic development activities, provided such activities meet a national objective of the CDBG program:

Commercial or industrial improvements carried out by the Grantee or a nonprofit subrecipient, including:

- Acquisition
- Construction
- Rehabilitation
- Reconstruction, or
- Installation of commercial or industrial buildings or structures and other real property equipment and improvements.

Assistance to private for-profit entities for an activity determined to be appropriate to carry out an economic development project. This assistance may include:

- Grants
- Loans

- Loan guarantees
- Interest supplements
- Technical assistance; or,
- Another form except for those described as ineligible, such as political activities.

Example: Special economic development activities include:

- . Construction by the grantee or subrecipient of a business incubator designed to provide inexpensive space and assistance to new firms to help them become viable businesses;
- . Loans to pay for the expansion of factory or commercial business; and,
- . Technical assistance to a business facing bankruptcy.

APPENDIX C

OVERVIEW OF ENVIRONMENTAL REVIEW REQUIREMENTS

The CD Division must complete an environmental review for each project with CDBG dollars. The environmental review, including the release of funds from HUD, must be completed before actual construction may begin on a project.

At the beginning of the environmental review process County staff looks to see if projects are located in and/or adjacent to the following areas:

1. Floodplain
2. Wetland
3. Historic Property/District
4. Coastal Zone
5. Sole Source Aquifer
6. Endangered Species
7. Airport Clear Zones and Accident Potential Zones

The staff also looks for the compliance in the following areas:

8. Clean Air Act
9. Farmland Protection Policy Act
10. Environmental Justice
11. Noise Abatement/Control Standards
12. Explosive and Flammable Operations
13. Toxic Chemicals and Radioactive Materials

This is the compliance list for categorically excluded activities, which make up a majority of the CDBG activities. Projects classified as environmental assessments have additional areas of compliance.

Projects, which impact any of the compliance factors noted above must obtain the necessary clearances before the environmental review can be finalized and the project can begin.

In addition to determining the compliance factors, County staff classifies each project according to the Federal environmental regulations. The environmental status of the proposed project will be from one of the following three (3) determinations:

1. Exempt

2. Categorically Excluded
3. Environmental Assessment

Exempt - (i.e., planning study, administrative costs), requires no further review.

Categorically Excluded - Categorically excluded activities include projects, which may have some impact on the environment. Typically they include: water and sewer line replacement, sidewalk and road replacement, and upgrades to existing parks. These projects sometimes require one or more clearances from other Federal or State authorities.

Once the clearances have been attained, a Notice of Intent is published which results in a release of funds letter from HUD. The environmental review process is complete and construction can begin once HUD's letter is received.

This entire process will take approximately 2-4 months from the time all the necessary information has been received depending on the clearances required.

Categorically excluded activities, which require no clearances, can be converted to exempt and require no publication.

Environmental Assessment - Projects that cannot be classified into either of the above noted categories are considered Environmental Assessments. These projects generally have the potential for significant environmental impacts. These projects may also require clearances as noted above. These projects are also reviewed for potential environmental impacts. If no impact is determined and once all clearances are received, a Finding of No Significant Impact (FONSI) is published which results in a release of funds letter from HUD. If there is a Finding of Significant Impact, then an Environmental Impact Statement (EIS) must be prepared by the municipality.

This process will take approximately 3-7 months from the time all the necessary information has been received depending on the clearances required.

Project schedules - The completion of the environmental review process may have an impact on the project's time schedule as construction may not begin nor may funds be released prior to the environmental review completion.

APPENDIX D

COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM 2010 PROGRAM YEAR MUNICIPAL REVIEW PROCESS

Competition for Dutchess County Community Development Block Grant (CDBG) funds is quite competitive; the Department receives requests that far exceed the amount of funding available. To ensure projects are selected fairly, staff members from the Department conduct extensive reviews of all submissions.

Preliminary recommendations for funding are made to the Community Development Advisory Community (CCDAC). The recommendations of the CDAC are sent to the County Executive for final review and approval. A public hearing is also held to provide citizens with an opportunity to comment on proposed awards.

How Municipal Projects Are Selected

The staff will begin the evaluation of each project by first asking the following questions:

1. Is one of the three National Objectives being addressed by the project?
2. Is the proposed project an eligible activity?
3. Does the proposed project meet a priority of the 2008-2012 Consolidated Plan?

If the Project does not meet the first three questions listed above, it is eliminated from consideration. The following questions 4 through 12 will aid in the evaluation and ultimate funding recommendations.

4. Does the project benefit a substantial number of low to moderate income persons?
5. Is the estimated completion time for the project realistic and allow for completion by the drawdown deadline?
6. Is the proposed project a continuation of a project previously funded by the CDBG Program?
7. Does the municipality have outstanding CDBG projects and funds?
8. Does the project represent an innovative or creative approach to a problem?
9. Is the project consistent with the County's current Consolidated Plan and other County Plans and initiatives

such as Directions, Greenway Connections and Centers and Greenspaces Plan?

10. Is the project a cooperative effort from two or more municipalities?
11. Has the municipality provides other sources of funds?
12. How is the municipalities organizational capacity; is the administration of previously funded programs positive?

If you are applying for a housing project, the following are additional questions that will be considered.

13. Are the development and construction costs in line with similar projects?
14. If the applicant has received HOME or CDBG funds in the past, were those projects completed in a timely fashion and with quality workmanship? Has the applicant maintained the projects in an appropriate manner and complied with all rental/sale price and income regulations?
15. Is the municipality where the project is located supportive of the project? Specifically, is it likely to receive the necessary planning and zoning approvals?
16. Does the municipality the project is located in have a plan or incentives to create moderately priced housing?
17. Does the project benefit any underserved populations?
18. Are HOME funds proposed to be used in the development of this project?
19. Does the project further the goals of the Dutchess County Continuum of Care?

Answers to these questions are used, in part, by staff to prepare recommendations on each project. HUD also imposes several requirements on the allocation of projects as follows:

No more than 20% of funding can be spent on Planning and Administrative expenses;

No more than 15% of funding can be spent on human service program services;

At least 70% of funding must be spent on projects that benefit low and moderate income persons.

APPENDIX E

A RESOLUTION AUTHORIZING THE SUBMISSION OF THE FISCAL
YEAR 2010 DUTCHESS COUNTY COMMUNITY DEVELOPMENT BLOCK
GRANT PROGRAM APPLICATION

PROJECT: _____

WHEREAS, the (town/village/city)of _____
is participating in the Dutchess County Community
Development Consortium for Fiscal Year 2010, and

WHEREAS, input from citizens and groups has been
received and considered, and

WHEREAS, an application has been prepared which
addresses our community concerns.

NOW, THEREFORE BE IT RESOLVED, that the Dutchess
County Community Development Consortium Fiscal Year 2010
application for the (town/village
city of _____ including the certifications
included therein by and hereby is approved.

BE IT FURTHER RESOLVED, that the submission of said
application to the Dutchess County Department of Planning
and Development be and hereby is authorized.

MOTION MADE BY: _____

SECONDED BY: _____

SIGNED BY: _____
(authorized official)

DATE: _____

APPENDIX F

SAMPLE INCOME SURVEY FORM

The survey must consist of the following two questions:

1. How large is your household? _____ (Number)
2. Is your income less than \$_____ * (Yes/No)

*Fill in with the following income limit associated with the number in the household.

2009 Low/Moderate Income Limits

<u>Family Size</u>	<u>Income</u>
1	\$44,800
2	\$51,200
3	\$57,600
4	\$64,000
5	\$69,100
6	\$74,250
7	\$79,350
8	\$84,500

If you use a survey to justify benefit to low and moderate income residents, you must keep all survey data on file. A summary of the survey data, which includes a tax map showing parcels surveyed and an explanation of the survey procedures must be submitted with the application.