

NYS COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

PROPOSED FINANCING AND/OR LIEN FINANCING FORM (PART 1) INSTRUCTIONS

Applicant Name. Enter the name of the applicant.

CFA Application Number. Enter the application number for the corresponding Consolidated Funding Application (CFA).

Name of Funding Source. List the name of the other funding sources including the name of the entity and program providing the funding (e.g. HCR/OCR – HOME, HCR – Weatherization, HCR/OCR-NYMS, HCR/OCR - AHC, EFC – DWSRF, CWSRF).

Amount of Funding. Enter the amount of funding allocated for the proposed activity.

Source of Funding. Identify the source of funding code (Federal, State, private, local or other) by entering the corresponding source code, which is located at the bottom of the form.

Type of Funding. Identify the type of funding code (loan, grant, tax credits, equity, private contribution, or program income) by entering the appropriate funding code located at the bottom of the form.

Interest Rate and Term. Enter the interest rate and loan term of the funding.

Funding Status. Identify the status of the funding (committed or application is submitted and notification is pending) by entering the appropriate funding status code located at the bottom of the form.

Date Available or Decision Date. Enter the anticipated date funding will be available for the proposed project or a decision will be made on an application for funding.

Provide a brief description of the proposed budget in the section provided on Form 7A. Applicants must upload into the CFA letters of application or commitment from each funding source excluding NYS Homes and Community Renewal funding sources.

While OCR encourages the co-funding of projects with other Federal and State funding agencies including HCR programs, OCR does not guarantee funding nor will funds from one source simply be used to replace funds from another. For all co-funded proposals, Applicants must demonstrate that **all** of the funding sources are needed to reach the affordability threshold of the beneficiaries. All financial resources must be available and committed at the time of award.

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PROPOSED PROJECT FINANCING AND/OR LIEN STRUCTURE FORM (PART 1)

APPLICANT NAME:

CFA APPLICATION NUMBER:

NAME OF FUNDING SOURCE	FUNDING						
	AMOUNT	SOURCE	TYPE	INTEREST RATE	TERM	STATUS	DATE AVAILABLE OR DECISION DATE
1							
2							
3							
4							
5							
6							

Source of Funding Codes: Federal (F), State (S), Private (P), Local (L), Other (O)

Type of Funding Codes: Loan (L), Grant (G), Tax Credits (TX), Equity (EQ), Private Contribution (PC), HUD Program Income (HPI), State Program Income (SPI).

Funding Status Codes: Committed (C), Application Submitted Notification Pending (AP)

Provide a brief description of the proposed budget including a discussion of the cost estimates provided, an analysis of program delivery, administration and engineering fees, and all other sources of funding including their status.

Commitment letters or letters of application are uploaded into the Consolidated Funding Application.

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PROPOSED FINANCING AND/OR LIEN FINANCING FORM (PART 2) INSTRUCTIONS

Applicant Name. Enter the name of the applicant.

CFA Application Number. Enter the application number for the corresponding Consolidated Funding Application (CFA).

List of Activities. Enter descriptive **names** for each of the proposed activities. **Do not provide a detailed description of the activity in this section, only the name of the activity.** The activity number and name of the activities should be used consistently throughout the application when referencing an activity. A lateral connection activity for individual LMI households that is part of a larger public sewer/wastewater and public water project is a separate housing activity and must be listed as such and, if applicable, as separate activities for single unit and multi-unit lateral connection assistance.

Program Delivery. For **each** activity listed, enter the program delivery costs associated with that activity. Program delivery, grant administration and engineering (design) costs **cannot exceed 18%** of the total CDBG grant award requested. For a list of eligible grant administration and program delivery costs, refer to the Community Development Block Grant 2012 Application Guidance document.

National Objective Code. For each activity, enter the National Objective Code that corresponds with the National Objective being claimed for that activity. **Each activity must meet a National Objective. Only one National Objective can be selected for each activity.** Refer to the chart below and the Federal regulation set forth at 24 CFR 570.08 for guidance on the appropriate National Objective codes and beneficiaries type.

Each activity proposed **must satisfy the requirements of the National Objective selected and evidence of compliance must be submitted** with the application as an exhibit, as requested in the Additional Requirements Section A, National Objective Compliance. **If satisfactory evidence of compliance with a National Objective is not provided, the proposed activity will be considered ineligible and will not be considered for funding.**

PROJECT TYPE	NATIONAL OBJECTIVE CODES AND BENEFICIARIES				
	LOW- AND MODERATE-INCOME			SLUMS AND BLIGHT	
	LMH	LMA	LMC	SBA	SBS
Residential Water and Wastewater	Households				
Public Infrastructure and Public Facility		Persons	Persons	Persons	Persons

LMH – Low/Mod Housing direct benefit: activities that are carried out for the purpose of providing or improving permanent residential structures, which will be occupied by low/mod income households. 24 CFR 570.208(a)(3)

LMA – Low/Mod Area benefit: the service area identified for activities is primarily low/mod income. 24 CFR 570.208(a)(1)

LMC – Low/Mod Limited Clientele benefit: activities that benefit a limited clientele as identified in 24 CFR 570.208(a)(2)

SBA – Slum/Blight Area benefit: activities that address prevention or elimination of slums or blight in a designated area. 24 CFR 570.208(b)(3)

SBS – Slum/Blight Spot basis: site-specific activities that address conditions of blight or physical decay. 24 CFR 570.208(b)(2)

CDBG Funds Requested. Enter the amount of NYS CDBG funds being requested for each activity listed.

Other Funding Sources. If there are other funding sources financing the proposed activities, complete Form 7A before proceeding with the completion of this form. For each of the other funding sources listed on Form 7A, enter the number associated with the funding source (the number to the left of the name of the funding source on Form 7A) and the amount of funding allocated from that source for the proposed activity.

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Total of Other Sources. For each activity, the amount of other funding sources allocated to the activity.

All Sources Total. For each activity, the total of all funding sources (the amount of CDBG requested and the total of other sources).

Total Amount for Engineering. Enter total cost of engineering services for the project.

Grant Administration. Enter the amount of administration and program delivery funds allocated to the project from the State CDBG funds requested and the total of other funding sources. Program delivery, grant administration and engineering costs **may not exceed 18%** of the total CDBG grant amount. **For a list of eligible grant administration and program delivery costs, refer to the Community Development Block Grant 2012 Application Guidance document.**

Total Amount of Program Delivery (1A – 5A). Total amount of the funding allocated for program delivery.

Total Amount of Funding. Total of all funding sources.

% of Total Project Cost. Calculate and enter the percentage of each source of funding representing the total project cost.

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PROPOSED PROJECT FINANCING AND/OR LIEN STRUCTURE FORM (PART 2)

APPLICANT NAME:

CFA APPLICATION NUMBER:

LIST OF ACTIVITIES (List all proposed activities and list, as a separate activity, the Program Delivery associated with each proposed activity.)	National Objective Code *	CDBG \$ Requested	OTHER FUNDING SOURCES (must correspond to the Part 1 of this form)				TOTAL FUNDING	
			Source #__	Source #__	Source #__	Source #__	OTHER SOURCES	ALL SOURCES
1								
1A	Program Delivery							
2								
2A	Program Delivery							
3								
3A	Program Delivery							
4								
4A	Program Delivery							
5	Total Amount for Engineering							
6	Grant Administration							
7	Total Amount for Program Delivery (Total of 1A -4A)							
8	Total Amount of Funding							
9	Calculate and enter % of Total Project Cost		%	%	%	%	%	100%

If needed, use additional copies of this page. If additional pages are used, enter the total amount of program delivery, total amount of funding and total project cost on the last page.

* Refer to the Eligible National Objectives and Beneficiaries Chart in the application instructions for the appropriate National Objective Codes.