

**2019 CITY OF POUGHKEEPSIE
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

**PUBLIC SERVICE APPLICATION
POLICIES AND PROCEDURES**

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Mayor**

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City of Poughkeepsie
Community Development Block Grant Program
2019 Public Service Application Instructions

I. PURPOSE

The purpose of this policy is to govern the disbursement of Community Development Block Grant funds to applicants that meet the requirements for participation in a financial assistance program that meet U.S. Department of Housing and Urban Development eligibility requirements. Through these guidelines, the City of Poughkeepsie seeks to provide grant funds to assist non-profit organizations and structured entities engaged in various programs. This policy sets forth the criteria used to determine and identify eligible organizations, programs, and activities for which the grant funds will be considered.

II. POLICY OBJECTIVES

The specific objective of this policy is to provide funding to non-profit organizations that benefit and provide opportunities for City of Poughkeepsie low and moderate income residents. All programs and activities must meet federal eligibility requirements and must serve 50% or more of low and moderate income residents in the City. Federal laws, regulations and guidelines supersede City of Poughkeepsie policies and procedures in an event where a conflict may arise.

III. ELIGIBLE ORGANIZATIONS

Any organization, club, league, or group can apply if they:

- Are registered as a non-profit organization and currently exempt from federal taxation under Section 501(c)(3) of the Internal Revenue Code.

IV. ELIGIBLE PROJECTS

Eligible projects must meet **federal eligibility requirements** and should meet a **consolidated plan priority**. The City has an obligation to address all the priorities set forth in the consolidated plan period. The City reserves the right to fund activities as necessary in order to meet this objective.

A. **Federal Eligibility:** Use the following policies to determine preliminary eligibility status:

1. **Eligible Public Service Activity:**

- a. New Activity
- b. Quantifiable increase in the level of service
- c. Existing CDBG funded activity

2. **Low/Moderate Resident Benefit:**

- a. Activity serves an area defined by the Census as low and moderate income (refer to map of eligible areas.)
- b. Activity benefits residents HUD presumes are low and moderate income: abused children, victims of domestic violence, elderly, severely disabled, homeless, illiterate adults, persons living with AIDS, and migrant farm workers.)
- c. Collect income documentation for each client which documents their household as low and moderate income area as defined by HUD.

B. Consolidated Plan Priorities: Use the following to determine preliminary priority status:

1. Homelessness-Emergency Housing and Support Services:

- Existing shelters and programs for the homeless.
- Counseling and assistance to address immediate needs and in locating housing and services.
- Develop independent living skills for homeless individuals, especially homeless youth.

2. Youth:

- Programs that provide general counseling, juvenile delinquent diversion, education, services to youth and youth outreach.
- Programs that develop high quality workforce skills for youth between ages 16-24.

3. Substance Abuse:

- Residential services that facilitate the recovery of chemical dependent individuals and families.
- Emergency housing for individuals with active chemical dependency problems and those at risk of relapse and homelessness.
- Follow-up chemical dependency treatment programs to prevent further homelessness.
- Programs that address accidental, fatal drug overdoses.
- Programs to address the unmet need for services for individuals age 12-17 and the high incidence of alcohol and other drug abuse in the schools.

4. Senior Citizens:

- Programs that address the needs of seniors, including transportation, isolation and insufficient money for basic needs.
- Programs that help senior's access services and benefits.

V. GRANT QUALIFICATION REVIEW

Applications will be reviewed and evaluated by the Social Development Director and the Community Development Advisory Committee, who will generate preliminary award recommendations, which will then be presented to the City Administrator and Mayor, for final review and approval. Funding recommendations will be determined by utilizing the following criteria:

- Does the organization and program meet federal eligibility requirements;
- Does the organization and program meet a consolidated plan priority;
- Does the organization demonstrate a need for the program and does it benefit low and moderate income residents in the City;
- What is the overall impact the program will have on the community and who will it support;
- What is the need for financial assistance and are there other funding sources to ensure the project reaches success;
- What is the organization's fiscal responsibility and management qualifications;
- What is the ability of the applicant organization to assume all operating costs after the program is complete;
- What is the ability of the applicant organization to obtain necessary additional funding to implement a program and to provide ongoing funding after the term of the grant has expired.

VI. GRANT INELGIBILITY

The City of Poughkeepsie will not extend grants to the following applicant organizations:

- Organizations not currently exempt from federal taxation under Section 501(c)(3) of the Internal Revenue Code;
- Public and private schools;
- Political campaigns, or attempts to influence public office;
- Organizations that unlawfully discriminate as to race, religion, income, gender, disability, or national origin;
- Projects or programs aimed at promoting the teachings of a particular church or religious denomination, or construction projects of churches or other religious institutions;
- Foundations affiliated with a for-profit entity;
- Individuals;

- Sponsor teams, special events or fundraising activities.

VII. APPLICATION INSTRUCTIONS

Complete the application form found on the City of Poughkeepsie's website by the appropriate deadline. We encourage all applicants to contact the Office of Social Development with any questions and to discuss program eligibility.

All applications must be submitted to the following address:

**City of Poughkeepsie
Office of Social Development
62 Civic Center Plaza
Poughkeepsie, NY 12601**

General Information:

- Number of Applications – Only one (1) application may be submitted per organization;
- Application submissions must come from the authorized certifying official;
- **One (1) copy of your application is required, either submitted as a hard-copy or as a complete electronic file.** Please do not submit your application as multiple emails, or multiple files;
- Electronic applications should be sent to the current Social Development Director. Check the City of Poughkeepsie website for up to date contact information.
- The funding amount that an organization requests in said application should reflect the budget submitted for the program to be funded. There is no guarantee that the requested amount will be granted.

Additional Information (to be submitted separately by the applicant organization):

- Organizational Chart & Budget (Word, Excel, or PDF);
- Program/Activity Budget and Narrative Form;
- Board List (Word, Excel, or PDF). Must include their name, employer, job title, address, phone number, and end date of their term;
- Personnel List (Word, Excel, or PDF). This list should include all current staff positions charged to this activity and allocate each salary across the

funding sources. Personnel costs are calculated as a percent of time spent on the program on the budget form. (Reimbursement will be based on actual hours.) If you must use an hourly or per day rate you must overwrite the formula and provide an explanation in the Budget Narrative. A position's percentage of time on an activity cannot be more than 100 percent. Enter the agency's Fringe Benefit Rate (%) so that fringe costs can be calculated, if applicable.

VIII. TIMELINE

December 1, 2018	CDBG Application Released
January 1, 2019	Applications Due
January 2019	Application Review
February 2019	Eligibility Determination, CDBG Advisory Committee Review & Funding Recommendations
February 2019	Public Hearing on 2019 CDBG Funds
March 1, 2019	Start of 2019 Program Year
April 2019	Draft Action Plan Released
May 2019	Submission of the 2019 Action Plan to the U.S. Dept. of Housing and Urban Development (HUD)

The Community Development Advisory Committee will review each application using the evaluation criteria outlined above. The review process may take up to 6 weeks to complete.

IX. RECEIPT OF GRANT FUNDS

Community Development Block Grant awards will depend on the total amount of funds allocated to the City of Poughkeepsie for the 2019 CDBG program year. This award is contingent upon an annual review of performance and funding availability subject to federal budget negotiations. The grant term begins on March 1, 2019 and continues through February 28, 2019.

Any grant recipient shall comply with the following conditions:

- Recipients will have up to one year to use the grant funds. Any grant funds unspent after 1 years' time will revert back to the City of Poughkeepsie Community Development Block Grant to support other eligible programs;
- Recipients must submit copies of all program invoices requiring payment;
- Recipients must submit financial statements for the last fiscal year;
- Recipients must submit activity/status reports on the program indicating expenditures and achievement of stated objectives and final statistics of low to moderate income persons assisted by the program.

X. AMENDMENTS

It is generally not permissible to amend the scope of an approved program, however, amendments will be considered under extenuating circumstances which are beyond the control of the organization. Such requests will be reviewed by the Social Development Director, who will make a recommendation to the City Administrator and Mayor. Amendments to budget items within an approved program are permissible. Organizations that wish to amend budget item(s) are required to contact the Director of Social Development to discuss the change and the procedure for submitting the budget amendment. Budget amendments will be reviewed and approved by the Social Development Director.

XI. RECAPTURE POLICY

When a program has been completed and the final payment request has been processed, any outstanding funds will be recaptured. The organization will be contacted to verify that the project or activity is 100% complete and all costs have been submitted. This will be followed up with a written recapture

amendment, which must be signed by the organization and returned to the Office of Social Development. Failure to return this amendment within 60 days will result in automatic recapture. Recaptured funds will be reallocated during each annual application cycle or an interim cycle if sufficient funds are available.

XII. DEFINITIONS AND PURPOSE OF MONITORING

Monitoring is the regular and systematic examination of all aspects associated with the administration and implementation of a private, local, state, or federally funded program in an effort to ensure compliance with local and federal regulations. The process also measures results and assists the City of Poughkeepsie in determining which programs need technical assistance and/or revisions in an effort to ensure quality programs.

XIII. MONITORING

Onsite monitoring involves a comprehensive assessment conducted by the Social Development Director and/or the Community Development Advisory Committee at a site where the related program is operating in order to evaluate all phases of program administration and operations. Any organization selected for onsite monitoring will be notified in advance and will be informed of any pre-visit documentation that should be made available.

During the onsite review, the review team may perform the following tasks:

- Review selected documentation (i.e., general ledger, expense reports, submitted invoices, program curricula) relevant to the grant expenditures or program;
- Review program data;
- Visit service areas of the related program;
- Conduct focus groups with staff, or other individuals participating in or affected by the program;
- Discuss preliminary findings and/or follow-up meetings;
- Conduct additional monitoring activities, as needed.

1. Monitoring Schedule and Criteria

The Social Development Director and/or the Community Development Advisory Committee will consider, at a minimum, the following criteria when determining the priority monitoring schedule, and focus area. *Please note that other program-specific criteria may also be considered at the discretion of the respective Social Development Director.*

- Failure to make substantial progress toward grant goals and objectives
- Late reporting (e.g. expenditures, status reports, progress reports, equipment inventory);
- Invoice difficulties or inconsistencies;
- Lack of alignment between expenditures and approved budget;
- Consistent noncompliance relative to unresolved findings identified during previous monitoring reviews;
- Individual complaints to the agency;
- Excessive administrative costs;
- Difficulty serving target population;
- Difficulty spending funds within the grant timeframe.

2. Types of Evidence

While it is impossible to provide a list of all the documents that might be needed during the monitoring process, commonly requested records may include:

- Payroll transactions (i.e., a list of employees paid with grant funds; job or position descriptions; time and attendance records/timesheets demonstrating dates/hours employee(s) worked and what percentage was spent working on the grant program activities; evidence of payroll reconciliations; accounting records indicating how salaries were charged; and/or payment records indicating how salaries were paid);
- Procurement transactions (i.e. cost estimates, proposals, etc.; purchase orders, contracts, invoices; proof that items purchased were received; and/or inventory records).
- Other expenditure receipts;
- Fiscal documentation showing the program is meeting its obligations including documents showing:
 - How the grant funds are utilized;
 - The total cost to run the program;

- The share of that total cost provided from other sources.
- Copies of program and/or agency's policies and procedures.

3. Monitoring Reports

Within 10 to 45 business days of completion of the onsite review, the Social Development Director and/or the Community Development Advisory Committee will send a Monitoring Report to the Grant Recipient. The report will address any findings, recommendations and corrective actions, if applicable. Grant Recipients will have 30 to 60 days, to develop a corrective action plan delineating strategies and a timeline in which they plan to correct any findings. The Social Development Director and/or the Community Development Advisory Committee will be available to provide targeted technical assistance.

XIV. CORRECTIVE ACTION PLAN (CAP)

The Social Development Director and/or the Community Development Advisory Committee will review the Corrective Action Plan and provide feedback to the Grant Recipient within 10 to 45 business days. The Social Development Director and/or the Community Development Advisory Committee will work with the Grant Recipient to ensure the plan is comprehensive, manageable and timely. Post-monitoring visits may be conducted to ensure the plan has been implemented as planned.

XV. CONDITIONS AND RESTRICTIONS

A Grant Recipient's failure to sufficiently implement its CAP within a timely manner may lead to special conditions or restrictions on the Grant Recipient's ability to receive grant funds in the future. Special conditions or restrictions may include:

- Additional reporting;
- Additional onsite monitoring;
- Withholding or suspension of grant funds, with appropriate written notification.

Additional program-specific conditions may also be imposed at the discretion of the Social Development Director and/or the Community Development Advisory Committee. The Grant Recipient will be notified in

writing if there are any special conditions or restrictions attached to the grant award. The notice will include:

- Nature of the special conditions/restrictions;
- Any corrective actions that must be implemented before the conditions/restrictions may be lifted;
- The process by which such conditions/restrictions may be appealed by the Grant Recipient. All appeals will be heard by the Social Development Director, the Community Development Advisory Committee, the City Administrator, and the Mayor.

XVI. RESOLUTIONS

Once the Grant Recipient has provided sufficient evidence that the CAP has been fully implemented, a closeout letter will be issued indicating that all findings have been resolved and to document which conditions/restrictions have been lifted.

For more information, please contact:

City of Poughkeepsie
Office of Social Development, Jaclyn Greenwald, Esq.
62 Civic Center Plaza
Poughkeepsie, NY 12601
Phone: (845) 451-4046
Email: jgreenwald@cityofpoughkeepsie.com

APPENDIX A PUBLIC SERVICE REVIEW PROCESS

The City of Poughkeepsie Community Development Block Grant is very competitive. Each program year, the City receives funding requests that far exceed the amount of funding available. The City of Poughkeepsie is statutorily limited to its allocation to Public Services. To ensure that projects are selected fairly and strategically, the Office of Social Development and the Community Development Advisory Committee conduct extensive reviews of all submissions.

How Public Service Projects Are Selected

The Office of Social Development and the Community Development Advisory Committee will begin the evaluation of each project or activity by first asking the following questions:

1. Is the proposed project an eligible activity?
2. Is one of the three National Objectives being addressed by the project?
3. Does the proposed project meet a consolidated plan priority?
4. If the project does not meet the first three questions listed above, it is eliminated from consideration.

Additionally, the following questions will also aid in the evaluation and funding recommendations:

5. Does the project benefit a substantial number of low and moderate income residents?
6. Is the estimated completion time for the project realistic and allow for completion by the project deadline?
7. Does the proposed project build on previous investments or is it part of a larger community development plan?
8. Does the agency have outstanding CDBG projects and funds?
9. Does the project represent an innovative or creative approach to a problem?
10. Is the project one-of-a-kind, not duplicated by an existing program?
11. Is the project a cooperative effort from two or more agencies?
12. Has the agency shown dollars leveraged from other sources?
13. Has the agency, if previously funded, met prior performance goals?
14. How is the agency's organizational capacity?
15. Is the administration of previously funded programs positive?

