

# **New York Main Street Program Application Instructions 2009**

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## **New York Main Street Program General Instructions**

It is recommended that applicants use the Community Development Online (CDOL) System (formerly known as CDWAS) to apply for funding. If the applicant is unable to use this system, please contact the Office of Community Renewal at (518) 474-2057.

### ***Online Application Submission***

All New York Main Street Program application exhibits and attachments may be submitted electronically over the web using the CDOL. Application exhibits and attachments for the New York Main Street Program must be submitted to the CDOL by 5:00 PM, EST, Friday, April 24, 2009. Any application exhibits or attachments for this program received after the stated deadline will be considered to be late submissions and will be returned to the applicant.

The submission of an application via CDOL consists of three steps:

- 1) Completing the online application exhibits;
- 2) Certifying and submitting the application exhibits; and,
- 3) Uploading, certifying and submitting all required application attachments.

When your application exhibits are complete and validated by the CDOL, the person who is authorized to electronically certify the application must log in to the CDOL and certify and submit the application exhibits. Once submitted, the CDOL will assign your application a SHARS ID number, which will be used to link the required attachments to your application. The application is not complete until all required attachments are certified and submitted. The required attachments are listed on page 4.

Please carefully review the following steps which are necessary to complete and submit your New York Main Street Program application via the CDOL.

## ***Registering Your Organization's Security Manager***

Please review the following to make sure that your organization is prepared to use the CDOL, and that you have someone with the authority to certify the application set up as a registered CDOL user for your organization.

In order to use the CDOL, applicants must be registered in DHCR's Statewide Housing Activity Reporting System (SHARS), and have designated a Security Manager for their organization. The Security Manager will serve as the individual who authorizes and monitors access to the CDOL for the applicant's organization, including which people have the ability to update the organization's applications. Security Managers may go into the CDOL system, and add or remove users for their organization.

If you are a registered SHARS applicant, but you have not registered to use the CDOL, you may submit a Security Manager Registration Form to DHCR, which will allow you access to the CDOL. Complete and return the Security Manager Registration Form with an original authorized signature to the address specified on the form and you will be e-mailed a User ID and temporary password with which to access the CDOL.

If your organization has not previously applied to DHCR for funding, you must complete and submit an Applicant Registration Form so that you may be registered as a SHARS Applicant. The form contains a section where you may designate a Security Manager for your organization. DHCR staff will register your organization and Security Manager and you will be e-mailed a USER ID and password to access the CDOL.

Applicants who used the CDOL (formerly called CDWAS) to apply for funding in the past will still be registered, and may use the CDOL with the user ID and password previously assigned to them. If you have forgotten your password, you may go the CDOL and enter your USER ID and e-mail address and you will be e-mailed a new password. If you have changed your e-mail address since you first registered as a CDOL user, and you cannot remember your password, or if you have forgotten your USER ID, please either call the **MSR Unit at (518) 486-5000**, or e-mail us at: **msr@nysdhcr.gov** for assistance.

## ***Registering your Organization's Electronic Signatory***

All application exhibits and attachments submitted through the CDOL must be electronically certified by an authorized representative of the applicant's organization. The person who will certify the application must be set up in the CDOL as a user for your organization. The Security Manager may add the certifier by following these steps:

- Log into the CDOL and click on the User Administration link at the top of the page. The organization name will be displayed with a list of CDOL users.
- To add your organization's authorized signatory, click 'add new user', and enter their first and last name, and e-mail address.
- Select their access level from the drop-down box. Applicant inquiry allows the user to view but not change the application. Applicant update allows the user to make changes to the application.
- Click the box that reads 'Authorized to Sign Certification'.
- Click the box next to the organization name. Then click 'Submit'.
- The CDOL will generate an e-mail providing the user with their User ID and temporary password. When the application exhibits are complete, validated and ready to be submitted, the certifier must

log-in to the CDOL, complete the certification, and submit the application exhibits. Required application attachments must also be certified prior to submission.

### ***Completing and Validating the Application Exhibits***

The New York Main Street Program Application consists of six exhibits (and three attachments), which are listed below. After completing the exhibits, you must validate the application. Validation is essentially an editing process performed by the CDOL that notifies the user of incomplete, missing, or inconsistent data in the application. The application may not be submitted until all problems found during validation are corrected. To validate, return to the main menu, and click the 'Validate' link to the right of the Application name. Click 'Validate' again and the CDOL will check to ensure all required data is complete and consistent. If errors or inconsistencies are found, the CDOL will provide a list of the items that need to be completed or corrected before the Exhibits can be submitted. Once your application is successfully validated, it is recommended that you print and review the entire application before taking the next step, certifying and submitting the application exhibits. Once the application exhibits have been certified, they can no longer be changed.

### ***Certifying and Submitting the Application Exhibits***

When your application exhibits are complete and validated, and you are ready to submit them, your organization's authorized signatory must log into the CDOL to certify and submit the application Exhibits. To certify, click the 'Validate' link to the right of the application name. Click 'Certify'. The certifier should read the certification, enter their CDOL password and title, then click 'Submit'. The CDOL will display a message acknowledging successful submission of the exhibits, and providing you with the application's SHARS ID number, which will be used to identify your application. An e-mail message will also be delivered to you confirming successful submission of the application exhibits.

At this point, you may choose to continue with the uploading and submission of required application attachments, or you may log-in to the CDOL at a later time, and upload and submit your application attachments. Remember that your application is not complete until all Application Exhibits and Attachments have been submitted. Any portion of the Application exhibits or attachments which have not been submitted by the deadline specified above will not be accepted.

### ***Uploading Required Attachments***

When you are ready to upload attachments, click on the 'Attachments' link to the right of the application name. The page will be redisplayed with a list of New York Main Street Program attachments. If you have completed the exhibits for multiple applications, be sure to select the correct application for which you want to upload attachments.

Click on the 'add' link to the right of the attachment that you want to upload. The page will be redisplayed with the option to 'select a file'. Click the 'browse' button to locate up to three files on your computer. To add the files, double click on them. When you have selected the file(s), click 'Upload'. The CDOL will return a message informing you as to the successful upload of the files. You may add additional files, by clicking the 'add' link to the right of the attachment name. You may upload multiple files for each attachment, and each file name uploaded will be listed below the attachment. Please limit the uploaded files to contain documents specifically requested in the Attachment Instructions. Whenever possible, combine multiple files into one.

Once uploaded, the Attachment Upload page will display two new buttons to the right of the attachment file name – 'view' and 'delete'. The view function allows you to view and print the file so that you can

verify that it is complete and satisfactory. The delete function allows you to delete the file prior to submission.

All required attachments must be uploaded before the group can be submitted.

***Certifying and Submitting Application Attachments***

When all required application attachments have been uploaded, the organization’s authorized signatory should log-in and click ‘Submit’ on the Attachment Upload page. The CDOL will display a ‘Certification’ which must be completed in order to complete the submission. Once the attachments have been submitted, the New York Main Street Program Application is complete and may not be changed.

***Required Exhibits and Attachments***

|                                                                                                                                                                                                                   |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><u>New York Main Street Program Exhibits &amp; Application Certification</u><br/>         The NYMS Program Application consists of<br/>         the following six Exhibits and an electronic certification</p> |
| Exhibit 1 – Application Summary                                                                                                                                                                                   |
| Exhibit 2 – Program Summary                                                                                                                                                                                       |
| Exhibit 3 – Needs Statement Summary                                                                                                                                                                               |
| Exhibit 4 – Relevant Experience                                                                                                                                                                                   |
| Exhibit 5 – Program Budget                                                                                                                                                                                        |
| Exhibit 6 – Program Schedule                                                                                                                                                                                      |
| Electronic Application Certification                                                                                                                                                                              |

After completing, certifying and submitting your application, you must upload all required application attachments, as set forth below:

|                                                                                                                                                                                                                                                          |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><u>New York Main Street Program Application Attachments</u><br/>         Attachments A, B and C are required submissions for all NYMS Program Applications.<br/>         Attachment D is required only if requesting downtown anchor grant funds.</p> |
| Attachment A – Need and Impact Statement                                                                                                                                                                                                                 |
| Attachment B – Target Area Map                                                                                                                                                                                                                           |
| Attachment C – Building Information & Digital Photographs                                                                                                                                                                                                |
| Attachment D – Business Plan (required only if requesting downtown anchor grant funds)                                                                                                                                                                   |

## Instructions for Beginning a New NYMS Program Application

### ***Verifying your Organization Information before Beginning a New Application***

Before you begin a new application using the Community Development Online (CDOL) system, you should verify and update your organization information if necessary. To do so, log-in, and from the CDOL Main Menu, select the 'view' button to the right of the organization's name under the 'Organization' heading. A pop-up window will appear with the organization information DHCR has on file. If any of the information displayed is incorrect or needs updating, close the pop-up window, and select the 'edit' button to the right of the organization name.

You may update your organization information in CDOL at any time, but you may not change the organization information on your application once it has been submitted.

#### **A. General Applicant Information**

Verify and if necessary, edit the following fields in this section:

- if applicable, the applicant's Department of State (DOS) Charities Registration Number.
- the month and day of the applicant's fiscal year end date (for example: 12/31).
- any aliases or acronyms the organization is known as.

#### **B. Type of Applicant**

Verify and edit this section as necessary:

- select each applicable applicant type.
- if applicable, add or correct the date of the non-profit applicant's legal incorporation.

#### **C. Phone and Internet Data**

If necessary, edit the applicant's telephone and fax numbers, e-mail address and URL.

#### **D. Mailing Address(es)**

If necessary, edit the applicant's primary mailing address in D1. If the mailing address for correspondence related to this application is other than your primary address, add the address in Section D2. You will be able to select the address to which you would like correspondence mailed once you begin the application.

#### **E. Primary Contact**

If necessary, edit the name, title, phone number, extension, and e-mail address of the person who is the primary contact for the organization. This person must have the authority to legally represent the applicant.

#### **F. Other Principals**

If necessary, edit or add principal organizations or employees of the applicant organization. For example, the Executive Director, CEO, Board President, or general partner.

### ***Beginning a New Application***

After verifying and editing your organization information, you are ready to begin a new application. Return to the menu and under the 'Applications' heading, to the right of the text 'Start a New Application', enter a unique name for the project, then select 'New York Main Street' from the

'Application Type' drop-down menu, and click 'Submit'. A table of contents will be displayed with a list of all New York Main Street Program Application Exhibits broken down by individual screens within CDOL. Instructions for completing each screen follow.

## **New York Main Street (NYMS) Program Application Exhibit Instructions**

### ***Exhibit 1 - Application Summary***

#### **1A. Funds Requested and Activities/Uses**

**1. Local Program Name:** The project name that was entered on the main menu when you began the new application will be displayed. You may change it here if you wish.

**2. Total NY Main Street Funds Requested:** Enter the total amount of NYMS Program funds you are requesting for this project, rounded to the nearest dollar. You must request an amount between \$50,000 and \$200,000.

**3. Total Number of Buildings to be Assisted with NYMS Program Funds:** Enter the total number of buildings which will be assisted with NYMS Program funds.

#### **4. NYMS Program Activities/Uses of Funds:**

**1. Building Renovation:** If applicable, enter the number of residential units, number of civic/community units, number of commercial units, and amount requested for building renovation under the appropriate columns.

**2. Streetscape:** If applicable, enter the amount of NYMS Program funds requested for streetscape improvements. Be advised that you may not request funds for streetscape improvements unless you also request funds for another NYMS activity.

**3. Downtown Anchor:** If applicable, enter the number of residential, civic/community, and/or commercial units to be assisted, and the amount requested for the downtown anchor grant activity.

#### **1B. Applicant Information**

If you have already verified your organization information as suggested above, you need only complete a few fields on this screen. These may include:

5b. If applicable, indicate whether or not all required periodic or annual written reports have been filed in a timely manner (non-profit applicants only).

6. If you have multiple mailing addresses on file, select the address to which correspondence related to this application should be mailed.

8. Complete this section for the individual who will be the primary contact person for correspondence related to this application. Indicate if the primary contact person is authorized to execute an agreement with HTFC should the application be funded.

### **1C-1. Counties/Municipalities**

1. Project County: Select the county from the drop-down menu.
2. Countywide: Indicate whether or not the project will serve the entire county.
3. If you answer 'yes' to the above question, enter the requested information for the chief elected official of the county, click 'submit' and go on to the next page.
4. If you answer 'no' to question 2, select the first municipality to be served from the drop-down Municipality menu, add the requested information for the chief elected official of that municipality, and click 'submit'. The page will be redisplayed with the county and municipality name, and the name of the chief elected official in a grid. To add another municipality, click the 'add' button at the bottom of the grid. The county and municipality drop-downs will become available again. Repeat steps 1, 2 and 4, to add another municipality. Continue this step until all project municipalities have been added.

If your project will serve multiple counties: Complete the steps outlined above. To add another county, click the 'add' button. When the page is redisplayed, select another county from the drop-down menu.

### **1C-2. Target Area**

1. Target Area Location: Provide a description of the NYMS Program target area, including the area's commonly-used name, and boundaries. The target area description must be consistent with Attachment B – Target Area Map. Digital photographs of the buildings in the target area must be submitted as Attachment C.
2. Enter the total number of buildings in the target area. This should be a total of all buildings in the NYMS Program target area, not just those to be assisted by the Program.
3. Enter the total number of commercial units in the target area. This should be a total of all commercial units in the NYMS Program target area, not just those to be assisted by the Program.
4. Enter the total number of residential units in the target area. This should be a total of all residential units in the NYMS Program target area, not just those to be assisted by the Program.

### **1D. Political Districts**

Locate and click on the name(s) of the Assembly member who represents the locality in which the project will be administered. Click on the top arrow to move the name into the box on the right. (You may remove a name by clicking on the bottom arrow). Repeat this as necessary for each Assembly, Senate and Congressional Representative who serves the project municipality.

### ***Exhibit 2 - Proposal Summary***

Provide a brief summary of the proposed NYMS Program. Complete each section below with answers that are clear, thorough and concise, and that summarize key program points. While you may provide clarifying information with regard to the sections in this Exhibit, please do NOT provide information not specifically asked for.

**2A. Program Objectives**

1. Summarize the specific work items you intend to accomplish with a NYMS grant. Include all activities that will be funded by the Program (for example, renovate five building interiors, etc.).
2. Describe the broader goals of the program (for example, increase pedestrian traffic, decrease residential vacancies, etc.).
3. Specify the proposed use of any anchor grant, and proposed uses for upper floor spaces in the district.

**2B. Target Area Eligibility**

1. Provide the commonly-used name of the targeted service area.
2. Briefly describe the geographic location and street boundaries of the targeted service area. (Note: Applicants should provide a map and list of property addresses in the proposed target area as Attachments B and C).
3. Explain how the target area, or the larger community in which it is located, is eligible for NYMS funding.
4. Indicate whether or not the target area is in an area that has been designated as a CDBG target area, Empire Zone, Quality Community, is eligible for designation as a Neighborhood or Rural Preservation Program service area, or any other qualifying designated area.
5. Indicate whether or not any buildings are on, or eligible for the National Historic Register, or if the target area is in, or adjacent to, a designated historic district.
6. Indicate the total number of buildings in the target area and the number of commercial and residential units.

**2C. Staffing**

1. Detail the roles that staff assigned to the program will perform with respect to various functions needed to carry out the program.
2. Identify all staff assigned to the program.
3. Identify all consultants working in support of the program.
4. Detail the specific experience or training of key staff persons that will be responsible for implementing the program.
5. Identify the source(s) of administrative/operational funding for the proposed program.

**2D. District Management**

1. Describe any planned or ongoing promotional activities that will be sponsored by your organization or by the downtown management agency to attract new customers, businesses, and residents to the district.

2. Describe your organization's plans to ensure that Main Street district management continues after the end of the grant period. State whether or not you plan to develop the local capacity to manage the district.
3. Discuss how you will ensure that improvements to assisted properties are maintained.
4. Explain how you will ensure that any residential units assisted with NYMS funds are marketed and remain affordable to low-income households for the next seven years.
5. Describe how you will monitor, assess, and report on progress in meeting the objectives described above.

### ***Exhibit 3 – Evidence of Local Support***

#### **3A. Local Support**

Identify local residents and stakeholder groups that have a role in support of the proposed program, and briefly explain their involvement. Also identify any other community development and revitalization efforts this program will be linked to, such as the State Quality Communities Initiative. Describe the applicant's existing fund-raising, volunteer recruitment, and other organizational development activities. If any of the support described in this section is supported by letters or agreements, reference those in 3B below.

#### **3B. Documentation of Local Support**

Provide the requested information for each support letter, funding commitment, letter of interest, and municipal resolution obtained for the program.

##### **3B-1. Letters of Support/Participation**

If you have received written letters of support or commitment to participate in the program from local agencies, provide the following information: agency name, the date of the letter, the name of the person who signed the letter, and a brief description of the type of support offered in the letter. Click 'Submit' and the information will be redisplayed in a grid. Click 'Add' to add another letter. Please Note: no more than five letters of support can be entered in this section.

##### **3B-2. Funding Commitment Documentation**

Provide the following details about each funding commitment and/or letter of interest you have obtained: source name, type of letter (select either funding commitment or letter of interest), the date of the letter, the name of the person who signed the letter, and the amount or value of the funds committed or referenced. Click 'Submit' and the information will be redisplayed in a grid. Click 'Add' to add another letter.

##### **3B-3. Municipal Resolutions**

Each municipality in which the proposed program will function should provide a written resolution supporting the program. Provide the following information regarding each resolution obtained: name of municipality authoring the resolution and the date the resolution was adopted.

#### **3C. Communication and Outreach**

Briefly describe any existing marketing campaigns or special events that are intended to market the target area's assets to customers, potential investors, new businesses, local citizens and

visitors. Also identify any plans for strengthening the target area's existing economic base and for finding ways to expand that base to meet new opportunities and challenges from outlying development.

**3D. Design**

Briefly describe actions that have been taken to preserve historic buildings in the target area, such as adopting design guidelines that must be followed for work done in the target area. Indicate the number of historic buildings that are likely to be assisted with NYMS funds. Describe any other support available to maintain a unified approach to design in the target area, such as technical assistance and other design resources for building owners, district-wide design campaigns (uniform signage, window display programs, etc.), or streetscape improvements that are being undertaken or have been recently completed.

**3E. Business Strategy**

Briefly describe the strategy for retaining and assisting existing businesses, attracting new businesses and investors, and finding new uses for vacant or underutilized buildings in the area, and any support that exists for those activities. Discuss plans for monitoring the target area's economic progress through periodic tracking of business activity and other investments.

***Exhibit 4 - Relevant Experience***

Complete this exhibit for **each organization** (including the applicant) involved in the preparation of the Application, and the administration of the NYMS Program, including consultants.

Each involved organization should complete this form for every similar project/program that it has participated in over the past three years, including those that are in progress, or were operating or completed during that timeframe. Similar activities include business improvement, revitalization and/or housing programs.

If you have no experience to report, check the 'Not Applicable' box at the top of the Exhibit, and go on to Exhibit 5.

**4A. Relevant Experience**

At the top of the page, select the role of the organization or person that the similar experience is being reported for. If you select 'Other', provide a brief description of the role in the space provided.

Local Program Name: Enter a descriptive name for the project/program, such as, 'Valley Mills New York Main Street Program Fall 2008'.

Role: From the drop-down menu, choose the role that the organization/person assumed in the project/program.

Type: From the drop-down menu, select the type of activity that best describes the project/program.

Construction Start and End Dates and Pct. Completed: Enter the month and year (mm/yyyy) that work on the project/program began, the month it was completed, or that you expect it be completed, and the percentage of program completion.

Total Cost: Enter the total cost of the program, rounded to the nearest thousand.

Program Funding Source: Enter the name of the program that provided funding for the project/program, for example, Urban Initiatives.

Program Funding Agency: Enter the name of the agency that administers the funding source listed above.

Funding Source Contact Name and Phone Number: Enter the name and phone number of the Program Funding Agency's contact person in the spaces provided.

When all required data has been entered, and you click 'submit', the data will be redisplayed in a grid format. To add another record, click the 'add' button at the bottom of the grid, and repeat the steps listed above. Be sure to complete this Exhibit for each involved organization.

### ***Exhibit 5 - Budget/Financing Plan***

**Note that NYMS funds may not be used for construction (interim) financing.**

#### **5A. Sources of Funds**

On this screen, you will add each source of financing necessary to complete the project as proposed.

Source: Select the funding source name from the drop down list. Funding sources are listed according to source type (DHCR/HTFC, Federal Government, Local Government, Non-DHCR State Government, and Private). If you cannot locate a specific source, each source category has a 'generic' source code which can be selected (for example, 'Federal Program – Other').

Specify Source: If any of the funding sources in the drop-down menu are followed by 'specify', you must enter the source name, program, lender, etc. in this space.

Assistance Type: Select the assistance type from the drop-down menu: loan, grant, other or equity.

Financing Type: Select the type of financing from the drop-down menu: construction (interim) or permanent.

Funding type: Select the applicable funding type from the drop-down menu: federal, State, local or other.

Status: Select either 'committed' or 'pending approval' from the drop-down menu.

When you click the 'submit' button for the first source, the page will be redisplayed as a grid. To add another funding source, click the 'add' button at the bottom of the grid and repeat the steps outlined above until you have added all funding sources.

## **5B. Uses of Funds**

**Columns:** Enter the costs budgeted for each line item including those not paid by the NYMS Program in the appropriate column(s).

Residential: Enter the costs for the residential portion of your program budget for each line item.

Civic/Community: Enter the costs for the civic/community portion of your program budget for each line item.

Commercial: Enter the costs for the commercial portion of your program budget for each line item.

Total Cost: CDOL will calculate the total costs for each line item by adding up the figures entered in the residential, civic/community and commercial columns.

NYMS Funds: Enter only those costs that will be paid with NYMS funds for each line item. Note that acquisition costs are not eligible uses of NYMS funds.

### ***Line Items:***

#### **Acquisition Costs**

1. Acquisition: If acquisition is involved in the program, enter the acquisition amount under each applicable column. Note that acquisition costs are not an eligible use of NYMS funds.

#### **Soft Costs**

2. Architecture/Design/Engineering: Enter the amount budgeted for architectural costs, preparation of designs and specifications.

3. Permits and Legal: Enter the amount budgeted for permits, filing fees, title searches, and related legal costs.

4. Other Professional Fees: Enter the amount budgeted for other professional fees.

5. Financing Fees: Enter the amount budgeted for construction loan financing costs.

6. Testing & Assessment: Enter the amount budgeted for testing for lead hazards, asbestos, etc.

7. Other: Enter the amount budgeted for any other soft costs, and detail these costs in the space provided.

8. Total Soft Costs: This line will be calculated by CDOL by totaling lines 2 through 8.

#### **Construction Costs**

9. Site Preparation & Demolition: Enter the amount budgeted for site preparation, demolition, and disposal.

10. Building Improvements: Enter the amount budgeted for building improvements.
11. Streetscape Fixtures & Equipment: Enter the amount budgeted for purchase and installation of equipment, fixtures, trees, etc. that will be installed as part of a streetscape improvement.
12. Other : Enter the amount budgeted for construction costs other than those entered on lines 9 – 11, and detail these costs in the space provided.
13. Total Construction Costs: This line will be calculated by the CDOL by totaling lines 10 – 13
14. Total Development Costs: This line will be calculated by the CDOL by totaling lines 1, 9 and 14 for each column. The amount of this line item under the Total Cost column must be equal to the total permanent financing sources entered in 5A of this Exhibit. The line item amount under the NYMS Funds column must be equal to the total amount of NYMS Program funds requested in Exhibit 1.

#### **Administrative Costs**

15. Administrative - Staff: Enter the amount budgeted for administrative staffing costs
16. Total Costs: This line will be calculated by the CDOL by totaling lines 1,8,13& 15 or 14 &

#### ***Exhibit 6 - Program Schedule***

Enter the anticipated dates for program implementation in a mm/dd/yyyy format, assuming a NYMS contract start date of June30, 2009, and that NYMS Program funds will be available as of that date.

**1A. Funds Requested & Activities/Uses**

- 1. Local Program Name: \*
- 2. Total NY Main Street funds requested: \* \$
- 3. Total Number of buildings seeking NYMS funds: \*

4. NYMS Program Activities/Uses of Funds:

| Use of Funds           | Number of Facades                         | Residential Units                         | Civic/Community Units                         | Commercial Units                         | Amount                            |
|------------------------|-------------------------------------------|-------------------------------------------|-----------------------------------------------|------------------------------------------|-----------------------------------|
| 1. Building Renovation | Number of Facades<br><input type="text"/> | Residential Units<br><input type="text"/> | Civic/Community Units<br><input type="text"/> | Commercial Units<br><input type="text"/> | Amount<br>\$ <input type="text"/> |
| 2. Streetscape         | N/A                                       | N/A                                       | N/A                                           | N/A                                      | Amount<br>\$ <input type="text"/> |
| 3. Downtown Anchor     | N/A                                       | Residential Units<br><input type="text"/> | Civic/Community Units<br><input type="text"/> | Commercial Units<br><input type="text"/> | Amount<br>\$ <input type="text"/> |
| <b>Totals</b>          |                                           |                                           |                                               |                                          | <b>\$0</b>                        |

**1B. Applicant Information**

- 1. Applicant Name:
- 2. Federal EIN:
- 3a. DOS Charities Registration Number:
- 3b. Not-for-Profit Incorporation Date:
- 4. Fiscal Year End Date:
- 5a. Applicant Types:

5b. Have all required periodic or annual written reports been filed with the Attorney General's office in a timely manner? \*

6. Applicant Mailing Address for this Application



7. Applicant Phone and Internet Data

- Phone Number:
- Phone Extension:
- Fax:
- Email Address:
- URL:

8. Primary Contact Person for Correspondence Related to this Application:

- First Name: \*
- Last Name: \*
- Salutation:
- Title:
- Phone Number: \*  Example: 212-555-1212

Phone Extension:   
Fax Number:  Example: 212-555-1212  
Email Address:

**1C-1. Counties/Municipalities**

Project County: \*   
Will the project be county wide? \*   
Municipality:  
\*

Chief Elected Official of the municipality selected above:

First Name: \*   
Last Name: \*   
Salutation:   
Title:   
Phone Number: \*  Example: 212-555-1212  
Phone Extension:   
Fax Number:  Example: 212-555-1212  
Email Address:

**1C-2. Target Area**

1. Target area location: \*  
Text will be limited to 200 characters and use of special characters is limited.

2. Number of buildings in target area: \*

3. Number of commercial units in target area:

4. Number of residential units in target area:

**1D. Political Districts**

**1. New York State Assembly District(s):**

|                           |   |   |
|---------------------------|---|---|
| 049 - ABBA TE,JR.,PETER J | ▲ |   |
| 001 - ALESSI,MARC         | ■ |   |
| 021 - ALFANO,THOMAS W     | ▼ |   |
| 084 - ARROYO,CARMEN E     | > | < |
| 118 - AUBERTINE,DARREL J  |   |   |

**2. New York State Senate District(s):**

|                     |   |   |
|---------------------|---|---|
| 20 - ADAMS,ERIC L   | ▲ |   |
| 55 - ALESI,JAMES    | ■ |   |
| 42 - BONACIC,JOHN   | ▼ |   |
| 46 - BRESLIN,NEIL D | > | < |
| 43 - BRUNO,JOSEPH L |   |   |

**3. New York State Congressional District(s):**

|                      |   |   |
|----------------------|---|---|
| 05 - ACKERMAN,GARY L | ▲ |   |
| 24 - ARCURI,MICHAEL  | ■ |   |
| 01 - BISHOP,TIMOTHY  | ▼ |   |
| 11 - CLARK,YVETTE    | > | < |
| 07 - CROWLEY,JOSEPH  |   |   |

**2A. Program Objectives**

Include: Summary of specific work items to be accomplished including activities to be funded, description of broader goals of the program, the end use of any anchor grant, and proposed uses for upper floor spaces.

|   |   |   |
|---|---|---|
|   | ▲ |   |
|   | ■ |   |
|   | ▼ |   |
| ◀ |   | ▶ |

Note: Text will be limited to 16,000 characters (1 page of 12 point Times New Roman single spaced text is approximately 4000 characters).

**2B. Target Area Eligibility**

Include: Commonly-used name of the targeted service area, geographic location and exact street boundaries, street addresses(if known), explain how the target area, or the larger community is eligible for New York Main Street(NYMS) funding. Indicate whether or not the target area is in an area designated as a Community Development Block Grant(CDBG) target area, Empire Zone, Quality Community, is eligible for designation as a Neighborhood or Rural Preservation Program service area, or any other qualifying designated area. Indicate whether or not any buildings are on, or eligible for the National Historic Register, or if the target area is in, or adjacent to, a designated historic district. Indicate the total number of buildings in target area and the number of commercial and residential units.

|   |   |   |
|---|---|---|
|   | ▲ |   |
|   | ■ |   |
|   | ▼ |   |
| ◀ |   | ▶ |

Note: Text will be limited to 16,000 characters (1 page of 12 point Times New Roman single spaced text is approximately 4000 characters).

## **2C. Staffing**

Include: Roles that staff will perform with respect to various program functions, identify all staff assigned to working in support of the program, detail specific experience or training of key staff persons that will be responsible for implementing the program, identify the source(s) of administrative/operational funding for the program.

Note: Text will be limited to 16,000 characters (1 page of 12 point Times New Roman single spaced text is approximately 4000 characters)

## **2D. District Management**

Include: Planned or ongoing promotional activities to be sponsored by your organization, or by the downtown management agency, to attract new customers, businesses and residents to the district. Describe plans to ensure that Main Street district management continues after the end of the grant period. State whether or not you plan to develop the local capacity to manage the district. Discuss how you will ensure that improvements to assisted properties are maintained. Explain how you will ensure that residential units assisted with NYMS funds are marketed, and remain affordable to low-income households for the next 7 years. Describe how you will monitor, assess, and report on progress in meeting the objectives described above.

Note: Text will be limited to 16,000 characters (1 page of 12 point Times New Roman single spaced text is approximately 4000 characters).

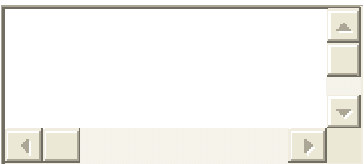
## **3A. Evidence of Program Support**

Identify local residents and stakeholder groups that have a role in support of the proposed program, and briefly explain their involvement. Also, identify any other community development and revitalization efforts this program will be linked to, such as the State Quality Communities Initiative. Describe the applicant's existing fund-raising, volunteer recruitment, and other organizational development activities. If any of the support described in this section is supported by letters or agreements, reference those in Section 3B-1.

Note: Text will be limited to 16,000 characters (1 page of 12 point Times New Roman single spaced text is approximately 4000 characters).

### **3B-1. Local Support**

Agency Name: \*   
Date of Letter: \*  Example: mm/dd/yyyy  
Signatory: \*



Support Offered: \*  
Text will be limited to 1,000 characters and use of special characters is limited.

### **3B-2. Funding Commitment Documentation**

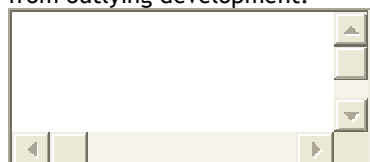
Source Name: \*   
Type of Letter: \*   
Date of Letter: \*  Example: mm/dd/yyyy  
Signatory: \*   
Amount: \*

### **3B-3. Municipal Resolutions**

Municipality: \*   
Date Resolution Adopted:  Example: mm/dd/yyyy

### **3C. Communication & Outreach**

Briefly describe any existing marketing campaigns or special events that are intended to market the target area's assets to customers, potential investors, new businesses, local citizens and visitors. Also, identify any plans for strengthening the target area's existing economic base, and for finding ways to expand that base to meet new opportunities and challenges from outlying development.



Note: Text will be limited to 16,000 characters (1 page of 12 point Times New Roman single spaced text is approximately 4000 characters).

### **3D. Design**

Briefly describe actions taken to preserve historic buildings in the target area, such as adopting design guidelines that must be followed for work done in the target area. Indicate the number of historic buildings that are likely to be assisted with NYMS funds. Describe any support available to maintain a unified approach to design in the target area, such as technical assistance and other design resources for building owners, district-wide design campaigns (uniform signage, window display programs, etc.) or streetscape improvements that are being undertaken or have been recently completed.

Note: Text will be limited to 16,000 characters (1 page of 12 point Times New Roman single spaced text is approximately 4000 characters).

### **3E. Business Strategy**

Briefly describe the strategy for retaining and assisting existing businesses, attracting new businesses and investors, and finding new uses for vacant or underutilized buildings in the area, and any support that exists for those activities. Discuss plans for monitoring the target area's economic progress through periodic tracking of business activity and other investments.

Note: Text will be limited to 16,000 characters (1 page of 12 point Times New Roman single spaced text is approximately 4000 characters).

### **4A. Relevant Experience**

Not Applicable:

Indicate which organization involved in the local program this section is being completed for: \*

Other (specify):

Local Program Name: \*

Role: \*

Type: \*

Construction Start Date: \*  Example: mm/yyyy

Construction End Date: \*  Example: mm/yyyy

Percentage Complete: \*  %

Total Cost: \* \$

Program Funding Source: \*

Program Funding Agency: \*

Funding Source Contact Name: \*

Funding Source Contact Phone: \*  Example: 212-555-1212

**5A. Sources of Funds**

Source: \*

Specify Source:

Assistance Type: \*

Funding Type: \*

Status: \*

**Amount of Funds by Use:**

Building Renovation: \$

Streetscape: \$

Downtown Anchor: \$

Other: \$

Total Funds from selected Source: \$

## 5B. Uses of Funds Budget/Financing Plan

5B. Uses of Funds

Budget/Financing Plan \_\_\_\_\_

Total NYMS Funds Requested: \_\_\_\_\_

---

Acquisition Costs \_\_\_\_\_

|                | Residential          | Civic/Community      | Commercial           | Total Cost | NYMS Funds           |
|----------------|----------------------|----------------------|----------------------|------------|----------------------|
| 1. Acquisition | <input type="text"/> | <input type="text"/> | <input type="text"/> | \$0        | <input type="text"/> |

---

Soft Costs \_\_\_\_\_

|                                          | Residential          | Civic/Community      | Commercial           | Total Cost | NYMS Funds           |
|------------------------------------------|----------------------|----------------------|----------------------|------------|----------------------|
| 2. Architecture/Design Engineering       | <input type="text"/> | <input type="text"/> | <input type="text"/> | \$0        | <input type="text"/> |
| 3. Permits & Legal                       | <input type="text"/> | <input type="text"/> | <input type="text"/> | \$0        | <input type="text"/> |
| 4. Other Professional Fees               | <input type="text"/> | <input type="text"/> | <input type="text"/> | \$0        | <input type="text"/> |
| 5. Financing Fees                        | <input type="text"/> | <input type="text"/> | <input type="text"/> | \$0        | <input type="text"/> |
| 6. Testing & Assessment                  | <input type="text"/> | <input type="text"/> | <input type="text"/> | \$0        | <input type="text"/> |
| 7. Other - Specify                       | <input type="text"/> | <input type="text"/> | <input type="text"/> | \$0        | <input type="text"/> |
|                                          |                      |                      |                      |            |                      |
| <b>8. Total Soft Costs (Lines 2 - 7)</b> | \$0                  | \$0                  | \$0                  | \$0        | \$0                  |

---

Construction Costs \_\_\_\_\_

|                                                    | Residential          | Civic/Community      | Commercial           | Total Cost | NYMS Funds           |
|----------------------------------------------------|----------------------|----------------------|----------------------|------------|----------------------|
| 9. Site Preparation & Demolition                   | <input type="text"/> | <input type="text"/> | <input type="text"/> | \$0        | <input type="text"/> |
| 10. Building Improvements                          | <input type="text"/> | <input type="text"/> | <input type="text"/> | \$0        | <input type="text"/> |
| 11. Streetscape Fixtures & Equipment               | <input type="text"/> | <input type="text"/> | <input type="text"/> | \$0        | <input type="text"/> |
| 12. Other - Specify                                | <input type="text"/> | <input type="text"/> | <input type="text"/> | \$0        | <input type="text"/> |
|                                                    |                      |                      |                      |            |                      |
| <b>13. Total Construction Costs (Lines 9 - 12)</b> | \$0                  | \$0                  | \$0                  | \$0        | \$0                  |
| <b>14. Total Development Costs</b>                 | \$0                  | \$0                  | \$0                  | \$0        | \$0                  |

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Administrative Costs \_\_\_\_\_

|                                                                         | Residential          | Civic/Community      | Commercial           | Total Cost | NYMS Funds           |
|-------------------------------------------------------------------------|----------------------|----------------------|----------------------|------------|----------------------|
| 15. Administrative                                                      | <input type="text"/> | <input type="text"/> | <input type="text"/> | \$0        | <input type="text"/> |
| <b>16. Total Costs (lines 1, 8, 13 &amp; 15) or (lines 14 &amp; 15)</b> | \$0                  | \$0                  | \$0                  | \$0        | \$0                  |

---

Matching Use of Funds: \_\_\_\_\_

| Use of Funds        | All Other Sources | NYMS | Total | % of Matching Funds |
|---------------------|-------------------|------|-------|---------------------|
| Building Renovation |                   |      |       | 0%                  |
| Streetscape         |                   |      |       | 0%                  |
| Downtown Anchor     |                   |      |       | 0%                  |

## 6A. Program Schedule

| Program Implementation Schedule             | Projected Date <small>Example: mm/dd/yyyy</small> |
|---------------------------------------------|---------------------------------------------------|
| Contract Start Date                         | * <input type="text"/>                            |
| Completion of Marketing and Outreach        | * <input type="text"/>                            |
| Acceptance and Review of Local Applications | * <input type="text"/>                            |
| Coordinated Review w/SHPO                   | * <input type="text"/>                            |
| Completion of Environmental Reviews         | * <input type="text"/>                            |
| Obtain Local Approvals                      | * <input type="text"/>                            |
| Start of Construction                       | * <input type="text"/>                            |
| Completion of Construction                  | * <input type="text"/>                            |
| All Completion Reports Submitted            | * <input type="text"/>                            |
| Marketing and Occupancy                     | * <input type="text"/>                            |

## Validating the Application

Before you can certify and submit a completed application it must pass a series of validations. To validate the application, return to the main menu and click 'validate' to the right of the application name.

The Validate Application screen will be displayed. Click 'validate' again to begin the validation process. The validation process is done in 3 steps:

- Step 1 checks to make sure that all required exhibits have been entered
- Step 2 checks to make sure that all required exhibits are complete
- Step 3 checks to make sure that the information entered is consistent across exhibits

If any incomplete Exhibits, fields or inconsistencies are found, you will receive the message: "Validation failed, please make the necessary corrections". Below this message will be an explanation(s) of the problems found during the validation process. Return to the Exhibits identified and complete them and/or correct the inconsistencies found. Each problem listed will have a link that will return you to the applicable Exhibit. If there are a number of errors it is suggested that you select the 'Print' button in the Banner. This will open the error messages in a new window which you can refer back to as you make corrections. Continue the validation process until you get the message "Validation Successful".

After successful validation the 'certify' link will be made available to users with the authorization to certify the application. If the person who has been completing the Application is not authorized to certify, the person who is authorized must sign into the CDOL to complete this step. The only way to get the 'certify' link is to run a successful validation. If you validate the application but do not certify it, the validation will have to be run again.

## **Certifying and Submitting the Application**

**Please Note:** Once you certify the application it cannot be changed.

To electronically Certify and Submit the application click the 'certify' link on the Validation page. At the bottom of the Applicant/Owner Certification enter your password. You may also enter your title if you chose and click the 'Submit' button. If the Certification and Submission was successful you will receive the following message at the top of the page.

Be sure to note your SHARS ID. As mentioned in the message above, check the Application Instructions to determine if additional signatures are necessary. If additional signatures are required click the Print in the Banner. Print the page, have all the necessary parties sign and date it and include it with your attachments.

There is no limit on the number of applications you can submit. Once an application is submitted the 'attachments' link will become available on the Menu. Clicking this link will transfer you to the Upload Attachments process.

**Please Note:** Your application will not be considered complete until all required Attachments are uploaded.

# New York Main Street Program Attachment Instructions

## ***Attachment A – Need and Impact Statement***

Document the need for the New York Main Street (NYMS) program in the target area, and explain the expected impact of the investment of NYMS funds by providing the following information. Provide sources for all data used.

### **1. Commercial Need**

- a. Provide a brief assessment of existing business conditions in the target area.
- b. Describe the types of businesses that currently occupy storefronts in the target area, including whether or not most businesses are owner-occupied.
- c. Indicate current land uses (commercial, residential, civic, parking, open space, etc.) in the target area and in areas immediately adjacent.
- d. Provide the vacancy rate for existing commercial space.
- e. Provide the number of vacant parcels (empty lots) in the target area.
- f. Discuss regional unemployment or other socio-economic indicators that affect the target area.
- g. Discuss any external factors that will impact the target area during the next three-to-five years, such as regional economic trends or institutional investments.

### **2. Residential Need**

- a. Provide a brief assessment of existing housing conditions in the target area, including housing affordability, building conditions, vacancy rates, and other residential needs.
- b. Provide an estimate of the number of residential units in the target area that are in need of rehabilitation.
- c. Use 2000 US Census data to provide the current poverty levels and residential vacancy rates for the targeted blocks or census tract in which the target area is located.
- d. Describe the business services available to residents in the target area and immediate surrounding areas. Identify any services needed by residents that aren't currently available in the target area.

### **3. Commercial Impact**

In specific, measurable terms, discuss the anticipated impact of the proposed NYMS program in the following areas.

- a. Explain how the proposed program will enhance the existing assets of the target area by investing in commercial building façade improvements and interior building renovations.
- b. Detail the extent to which NYMS funds will be invested in historic buildings and/or small or unique businesses in the target area.
- c. Discuss the market potential in the region. Data from the US Census and other valid sources should be used to support the market for new business or an increase in business activity in the target area.

(Applicants may reference pertinent sections of local master plans, consolidated plans or other such community or downtown development or strategic plans that support the proposed NYMS program).

#### **4. Residential Impact**

Demonstrate how the proposed program will support existing or new residential housing in the target area. (Applicants may reference pertinent sections of local master plans, consolidated plans or other such community or downtown development or strategic plans that support the proposed NYMS program).

- a. Describe the impact that the investment of NYMS funds will have on increasing accessible, affordable housing opportunities in the target area, or
- b. Describe the impact that the investment of NYMS funds will have on alleviating substandard housing conditions in the target area.

#### ***Attachment B – Target Area Map***

Submit a scanned or digital image of a map that clearly shows the boundaries of the proposed NYMS program target area and each block within the target area.

#### ***Attachment C – Building Information & Digital Photographs***

Submit a list that includes each property within the target area. Provide NYS Office of Real Property Services tax parcel identification numbers (section, block, and lot) for each building. In a separate file or files, provide digital photographs of the façade each building in the target area. It is not necessary to provide a separate photograph of each building, but each should be cross-referenced with the list of properties, and the photographs should provide sufficient detail so that building characteristics can clearly be seen. Because digital image files can be quite large, it is recommended that you submit compressed files, or files in a format that uses less file storage space.

#### ***Attachment D - Business Plan***

##### **(required only if requesting funds for a downtown anchor grant)**

Applicants requesting anchor grant funds must submit a business plan that describes the proposed operation of the anchor project. The plan must demonstrate that with the addition of NYMS funds, the anchor will be self-sustaining. Specifically, it must demonstrate the following:

- a. that there is market support for the anchor;
- b. that projected income and revenue are attainable;
- c. that estimated project income is sufficient to pay the estimated operating expenses (including any debt service contained in the financing plan); and,
- d. that the operating and development budgets are reasonable.

If the anchor involves the provision of a public service, the applicant should also discuss the need for the service in the area, and the likelihood of any additional public operating or capital revenue.

Include the following in the Business Plan:

##### **1. General requirements**

The Business Plan must:

- a. demonstrate that the proposed enterprise will meet an identified need in the general area and can be readily absorbed.

- b. identify the sources of statistics used in the analyses and, when statistics are not from public sources, include means for verification (e.g., list of contacts with telephone numbers or attachment of source documents);
- c. fully explain the reasoning behind any assumptions used in the analyses;
- d. conclude that the enterprise will likely be self-sustaining; and,
- e. demonstrate that requested NYMS funding will bring the project to a complete and operational state.

## **2. Market Analysis**

Include a Market Analysis that demonstrates sufficient market support for the NYMS program or business. The market analysis must:

- a. define the market area boundaries, giving any physical, social, governmental and/or economic reasons for their selection and explain why the boundaries were established in such a manner;
- b. estimate the number of households in the market area (and any specific subset which the program is intended to serve) which are prospective customers/clients, describing their characteristics (e.g., age, income, household size, special requirements, etc.) and analyzing any relevant socio-economic, demographic information in the context of current economic conditions;
- c. determine the net demand from income-eligible households (or a specific subset), which can be expected to support the program as proposed given the goods or services, the proposed price and the existing supply;
- d. include information on comparable enterprises succeeding as self-sufficient operations;
- e. consider other available information, such as surveys identifying potential customers/clients, and/or independent demographic and market data;
- f. identify the sources of statistics used in the analyses and, when statistics are not from public sources, include means for verification (e.g., list of contacts with telephone numbers or attachment of source documents), and fully explain the reasoning behind any assumptions used in the analyses; and,
- g. identify any commitments on continuing operating revenue from non-market sources, such as local governments or private foundations.

## **3. Operating Budget**

The applicant must submit an estimated program operating budget which reflects as accurately as possible the expected income (revenue) and operating costs of the program. The applicant may use information from comparable programs as the basis for estimating expenses, provided they are similar to the proposed enterprise in type and located in a similar market area. The applicant should identify the comparable projects used as a basis for their projections. Applicants must demonstrate that the project will generate sufficient income to cover its operating expenses.

## **4. Financing Plan**

The applicant must submit financing plan for the project that shows:

- a. the total project cost must be financed by grants, loans, or equity, or a combination of the three;
- b. all program financing must be firmly committed;
- c. debt service for loans must be supportable by the project's annual operating budget; and,

d. any other expected financial support for the project, including grant support, in-kind resources, volunteer help, etc., that is available to complete the program.

## **Uploading Attachments**

Once an Application is Submitted, the Attachments link will be available on the Menu. When you click this link you will be transferred to the Upload Attachments process.

The Attachment Upload page lists all applicable attachments for the selected application.

To the right of each listed attachment is an 'Add' link. When the 'Add' link is clicked, you will be presented with the ability to select one (1) file for upload. Selecting the 'Browse' button will allow you to browse your computer for the file you want to upload. After locating and selecting the file, clicking the 'Upload' button will complete the transfer. A progress section will be displayed to show the progression of the upload. You will be brought back to the attachment list and will receive a message that the file has been successfully uploaded. The file name will be displayed under the attachment.

To the right of each uploaded file will be two links: 'View' and 'Delete'. 'View' allows you to view and optionally print the file so that you can verify that it is complete and satisfactory. 'Remove' allows you to delete the file prior to submission.

Attachments that are not required will have an 'Omit' link. You must click the 'Omit' link if you chose not to upload these types of attachments.

You may upload multiple files for each attachment. Please limit the uploaded files to those documents specifically requested in the Attachment Instructions. Whenever possible, combine multiple files into one.

When all required application attachments have been uploaded, pressing the submit button will prompt a Certification box where you must indicate that your submission is complete. Once you click 'OK' the submission process is complete.

Attachments that are not required will have an 'Omit' link. You must click the 'Omit' link if you chose not to upload these types of attachments.

You may upload multiple files for each attachment. Please limit the uploaded files to those documents specifically requested in the Attachment Instructions. Whenever possible, combine multiple files into one.

When all required application attachments have been uploaded, pressing the submit button will prompt a Certification box where you must indicate that your submission is complete. Once you click 'OK' the submission process is complete.