HCR Preservation Contract Application Review

July 28, 2015

Neighborhood Preservation Coalition of New York State

2015 Upcoming Events

NPCNYS Annual Conference
Crossroads: Re-Envisioning the Future
October 8-9, 2015
The Desmond Hotel & Conference Center, Albany
http://npcnys.org/events/

Technical Issues

- All phones are muted.
- Session is being recorded and will be available to Preservation Companies by Wednesday at http://npcnys.org/trainings/podcastswebinars/
- To ask a question, please use the chat or Q&A feature in the GotoWebinar tool bar.
- A link to the PowerPoint will be emailed to all participants after the session is completed.

Joining us from NYS HCR

- Jerry Nagy

Director of N/RPP, Access & Restore Programs

Jerome.Nagy@nyshcr.org 716-847-7954

- Tracey Jordan

Program Administrator for N/RPP

Tracey.Jordan@nyshcr.org 518-474-2057

Agenda

- Budget
- Completing the Application
- Required Documents
- N/RPP Renewal Document PDF
  - Budget
  - Board
  - Work Plan
- Other Housekeeping
  - Charities Bureau
  - Audit
  - Grants Gateway
  - Annual Performance Reports
- Questions

Budget Schedule

2015-2016

Budget Schedule

Neighborhood Preservation Companies

- $88,054
- Payment 1: $30,000 with completed contract application due 8/24/15
- Payment 2: $25,000 with completed APR due 7/31/15
- Payment 3: $33,054 in January 2016

Rural Preservation Companies

- $86,825
- Payment 1: $30,000 with completed contract application due 8/24/15
- Payment 2: $25,000 with completed APR due 7/31/15
- Payment 3: $31,825 in January 2016

Good work: All groups are receiving a 29% funding increase in the 2015-16 program year

Completing the Application

Submit via email to:

NPP_RPPApp@nyshcr.org and

Tracey.Jordan@nyshcr.org

2015-2016 Contract Extension

- The program year started July 1, 2015
- It is a contract extension year instead of executing new contracts
- What does that mean?
- You will retain your SHARS ID number (2013XXXX) and contract number
  - NPCs C525XXX, RPCs C645XXX
- The current Preservation Program Manual (2013-2014) will remain in effect until June 30, 2016 http://www.nyshcr.org/Publications/NRPPManual/NRPP-Program-Manual-2013-14%20.pdf

The Good News

Bye-bye U.S Postal Service!

No more paper copies!

- That's right. All documents requiring original signatures can be **printed, signed, scanned and emailed.**
- HCR does not want any paper copies of any kind. This will really help expedite the payment process.
- Please submit all completed documents including the Disbursement Request at the same time to avoid delays.

Required Documents

Required Documents

- Appendix B: Budget (this is in the renewal doc)
- Appendix D: Work Plan (this is in the renewal doc)
- Appendix C: Payment and Reporting Schedule
- Appendix I: Standard Clauses
- Appendix G: MWBE
- Appendix X
- Vendor Responsibility Form
- HTFC Designation of Depository Form
- Certificates of Workers Comp and Disability Insurances
- HTFC Disbursement Request Form

Appendix C

Payment and Reporting Schedule

Timeline

- July 1 Contract year start date
- July 31 Annual Performance Report due
- August 24 2015-16 Contract Application due
- March 31 Work Plan modifications due
- Dec 31 Submit Disbursement Request for Third Payment
- 5 days Notice of Board Changes after occurrence
- 15 days Notice of Staffing Changes after occurrence
- 120 days Opinion & Management Letter

Appendix I

Standard Clauses

Appendix I: Standard Clauses

- 7 page document of standard clauses for agency contracts
- Does not require a signature
- Please read and retain for your records
- Do not submit to HCR when submitting your application

Appendix G: MWBE

MWBE Reporting

- Forms to complete:
  - Page 7: Form EEO-1
  - Page 8: Staffing Plan
  - Page 10: Work Force Employment Utilization
- Be sure to fill out a designated liaison name, EEO Goals, signature and date on the EEO-1
- Staffing Plan: 'Offeror's name' is your organization name, sign, write your title and date
- **Please scan and submit this form via email.**

Appendix X

Appendix X

- Fill out your organization name and contract number
- Then sign, date and have notarized
- Note: Notary date and signature dates must match
- **Please scan and submit this form via email**

Vendor Responsibility Questionnaire

Vendor Responsibility Questionnaire

- For any ‘Yes’ responses for Questions 11-17, please include the additional required information
- All N/RPCs must answer ‘Yes’ for Question 17. Please list this in the space provided.
- The form must be signed and notarized. Again, the notary date must be the same as the signature date.
- **Please scan and submit this form via email**

HTFC Designation of Depository Form

HTFC Designation of Depository Form

- Section I should be completed by the N/RPC
- Section II should be completed by your financial institution
- The form must have organization and bank signatures
- Be sure to complete all sections in entirety!
- **Please scan and submit this form via email**

HTFC Disbursement Form

HTFC Disbursement Form

- There are 3 of these forms per contract year:
  - **1st Disbursement: $30,000, submit with contract (due 8/24)**
  - **2nd Disbursement: $25,000, submit with APR (due 7/31)**
  - **3rd Disbursement: $33,054 NPC, $31,825 RPC, submit in December 2015**
- Please fill out your appropriate form (different for NPP and RPP)
- Fill out the entire top section
- Form must be signed and dated
- **Please scan and submit this form via email**

Insurance Requirements

Insurance Requirements

- You must send Certificates of Workers Compensation and Disability Insurance
- **The certificate holder must name: Housing Trust Fund Corporation, 38-40 State Street, Albany, NY 12207**
- FEIN must match the N/RPC FEIN even if covered by a parent or affiliation company
- HCR does not need the ACORD (proof of insurance document)
- **Please scan and submit this form via email**

2015-2016 N/RPP Renewal PDF

Getting Started

- All narratives must be completed.
- The contact and website information listed on page 1 will be used in the OCR Affordable Housing Directory so please make sure correct contacts are submitted.
- Total columns in the spreadsheets will fill in automatically as you fill in your information.

Appendix B: Budget

Pages 3-4 on Renewal Document

Budget

- Program requires match of ½ of program funds
  - NPC Match: $44,027
  - RPC Match: $43,413
- Salaries:
  - Include info on staff related to the N/RPP, including hours worked on N/RPP
- Overall budget:
- Company's total annual administrative budget must be equal to or greater than the Total Funds

Budget

- OTPS:
- If you have been waiting to upgrade computer systems, websites, domains, etc, this is the year to consider doing it
- Needs Assessments/Strategic Plans: Do you need to update these documents? You may want to use this year's increase to fund it

Board Roster and Board Requirement Refresher

Pages 5-8 on Renewal Document

Board of Directors

NPC	RPC

NPC

- 5 voting members
- 33% residents of the service area
- Individually sign a conflict of interest statement
- Restrictions on who can serve (p. 55 of Program Manual)

RPC

- 5 voting members
- 51% residents of the service area
- Individually sign a conflict of interest statement
- Restrictions on who can serve (p. 55 of Program Manual)

Forms can be accessed at:
http://www.nyshcr.org/Forms/NPPRPP/

Appendix D: Work Plan

Pages 9-14 on Renewal Document

Changes to the Work Plan

- New this year: No more contract percentages for each exhibit or for each activity
- New special population section: Enter the number of individuals in each category that you expect to serve by the activities in each of your exhibits

Exhibit A: Property Rehab & Construction Activities

- For all categories:
  - Enter the number of units that will be ‘In Progress’ at the end of the program year. Enter the expected date of completion.
  - Enter the number of units that will be ‘Completed’ at the end of the contract year
- Special Populations:
  - Enter the number of individuals you expect to serve by your rehab and construction activities

Exhibit A: Property Rehab & Construction Activities

- Narrative on page 10
- Clearly summarize the work you plan on doing over the next year and the steps you will take to achieve your activities
- Your activities should reflect a 12 month period of work

Exhibit B: Client Assistance

- General
  - Enter participants at or below 90% AMI, as well as those over 90% AMI
- Workshops
  - Enter number of workshops offered and number of participants that will attend
- Tenant Associations
  - Enter number of associations/meetings and number of members
- Property Management
  - Enter number of units in buildings managed by your organization and fill out property management questionnaire at end of document

Exhibit B: Client Assistance

- The forgotten categories:
  - HCR is aware of Subsidy Assistance, Housing Court and Home Maintenance Workshops are missing
  - Please place those participants into categories that you see fit and explain further in the space on page 12
- Special Populations:
  - Enter the number of individuals you expect to serve by your client assistance activities

Exhibit B: Client Assistance

- Narrative on page 12
- Clearly summarize the work you plan on doing over the next year and the steps you will take to achieve your activities
- Include expected outcomes
- Your activities should reflect a 12 month period of work

Exhibit C: Community Renewal

- Infrastructure
  - Enter number of projects to be ‘In Progress’ or ‘Completed’ at the end of the program year
- Planning
  - Enter number of projects to be ‘In Progress’ or ‘Completed’ at the end of the program year
- Grants/Loans
  - Enter number of grants to be written and/or administered in the program year
- Business Assistance
  - Enter number of Business Loan Products, Businesses Attracted, Businesses Retained and number of Local Merchant Associations (either formed or participation with)

Exhibit C: Community Renewal

- Programs:
  - Enter the number of programs and number of individuals served
- Organizational Activities:
  - Enter the number of staff/board development events and the number of individuals served
  - Enter the number of HCR activities and the number of individuals served
- Partnerships Created:
  - Enter number of partnerships with local agencies, private sector companies, statewide and national nonprofits

Exhibit C: Community Renewal

- Narrative on page 14
- Clearly summarize the work you plan on doing over the next year and the steps you will take to achieve your activities
- Include expected outcomes
- Your activities should reflect a 12 month period of work

Property Management Questionnaire

- If your agency is involved in property management, please fill out the questionnaire on page 15-16
- Be aware: There are slight changes to the column headers in the table
- Be sure that the number of units for all properties must equal the Total Units column in Exhibit B

Document Submission

- Once you get to the end of the contract document, click save and submit to OCR
- Other forms to submit:
  - Appendix G: MWBE
  - Appendix X
  - Vendor Responsibility Questionnaire
  - HTFC Designation of Depository Form
  - Disbursement Request for $30K
  - Insurance Certificates for Workers Comp & Disability

Other Housekeeping

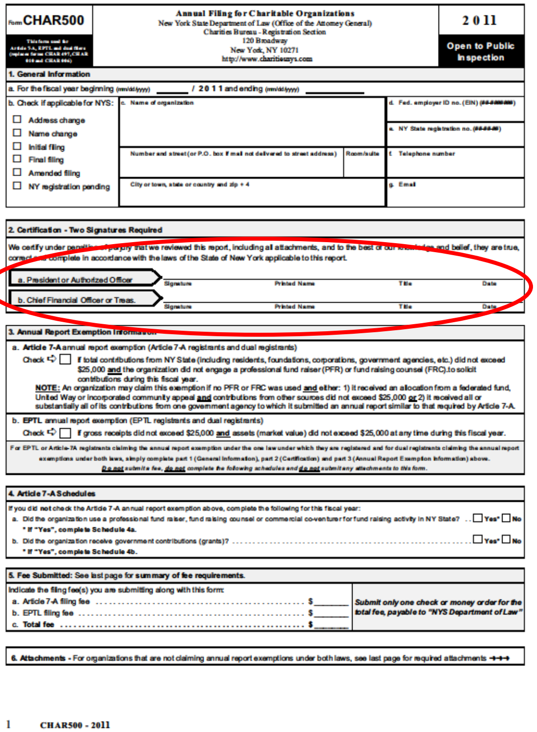
Charities Bureau Requirements
Audit Requirements
Grants Gateway

Charities Bureau

- Two (2) signatures- President & Treasurer (CEO/CFO)
- Fee paid to the NYS Dept of Law
- IRS Form 990
- Extensions
  - 3 months (up to 2)
  - charities.extensions@ag.ny.gov

You will not receive any HCR payments until your org is up to date with the Charities Bureau

Request Current Status Email!


Form CHAR500

This form used for Article 7A, EPTL and dual filers (replaces forms CHAR 497, CHAR 010 and CHAR 006)

Annual Filing for Charitable Organizations
New York State Department of Law (Office of the Attorney General)
Charities Bureau - Registration Section
120 Broadway
New York, NY 10271
http://www.charitiesnys.com

2011

Open to Public Inspection

1. General Information

a. For the fiscal year beginning (mm/dd/yyyy) ______ / 2011 and ending (mm/dd/yyyy) ________

b. Check if applicable for NYS:
- ☐ Address change
- ☐ Name change
- ☐ Initial filing
- ☐ Final filing
- ☐ Amended filing
- ☐ NY registration pending

c. Name of organization

Number and street (or P.O. box if mail not delivered to street address) | Room/suite

City or town, state or country and zip + 4

d. Fed. employer ID no. (EIN) (##-#######)

e. NY State registration no. (##-##-##)

f. Telephone number

g. Email

2. Certification - Two Signatures Required

We certify under penalties of perjury that we reviewed this report, including all attachments, and to the best of our knowledge and belief, they are true, correct and complete in accordance with the laws of the State of New York applicable to this report.

a. President or Authorized Officer — Signature | Printed Name | Title | Date

b. Chief Financial Officer or Treas. — Signature | Printed Name | Title | Date

3. Annual Report Exemption Information

a. **Article 7-A** annual report exemption (Article 7-A registrants and dual registrants)
Check ☐ If total contributions from NY State (including residents, foundations, corporations, government agencies, etc.) did not exceed $25,000 **and** the organization did not engage a professional fund raiser (PFR) or fund raising counsel (FRC) to solicit contributions during this fiscal year.
NOTE: An organization may claim this exemption if no PFR or FRC was used **and** either: 1) it received an allocation from a federated fund, United Way or incorporated community appeal **and** contributions from other sources did not exceed $25,000 **or** 2) it received all or substantially all of its contributions from one government agency to which it submitted an annual report similar to that required by Article 7-A.

b. **EPTL** annual report exemption (EPTL registrants and dual registrants)
Check ☐ If gross receipts did not exceed $25,000 **and** assets (market value) did not exceed $25,000 at any time during this fiscal year.

For EPTL or Article-7A registrants claiming the annual report exemption under the one law under which they are registered and for dual registrants claiming the annual report exemptions under both laws, simply complete part 1 (General Information), part 2 (Certification) and part 3 (Annual Report Exemption Information) above.
Do not submit a fee, do not complete the following schedules and do not submit any attachments to this form.

4. Article 7-A Schedules

If you did **not** check the Article 7-A annual report exemption above, complete the following for this fiscal year:

a. Did the organization use a professional fund raiser, fund raising counsel or commercial co-venturer for fund raising activity in NY State? ☐ Yes* ☐ No
*** If "Yes", complete Schedule 4a.**

b. Did the organization receive government contributions (grants)? ☐ Yes* ☐ No
*** If "Yes", complete Schedule 4b.**

5. Fee Submitted: See last page for **summary of fee requirements.**

Indicate the filing fee(s) you are submitting along with this form:
- a. Article 7-A filing fee .... $______
- b. EPTL filing fee .... $______
- c. **Total fee** .... $______

Submit only one check or money order for the total fee, payable to "NYS Department of Law"

6. Attachments - For organizations that are not claiming annual report exemptions under both laws, see last page for required attachments →→→

1 CHAR500 - 2011

Audit

- All N/RPCs are required to complete a full audit annually
- Opinion & Management Letter
  - Emailed to Tracey and Jerry at HCR
- IRS Form 990 & schedule

Ending date of tax year	Initial return due date	First extended due date	Second extended due date
December 31	May 15	August 15	November 15
November 30	April 15	July 15	October 15
October 31	March 15	June 15	September 15
September 30	February 15	May 15	August 15
July 31	December 15	March 15	June 15
June 30	November 15	February 15	May 15

Grants Gateway

- To receive any payments from NYS, you must be prequalified on Grants Gateway
- The Document Vault will open when your 990, CHAR 500 and Audit Review/Findings are due
- The Coalition has a Grant Gateway tutorial on our website: http://npcnys.org/trainings/podcastswebinars/
- Still confused? Reach out to Paula at the Coalition for assistance with Grants Gateway

Which of the following policies and procedures does your organization have in place? ☐ CEO Compensation policy ☐ Anti-nepotism policy ☐ Staff code of conduct ☐ Document retention policy ☐ Board of Directors Conflict of Interest Policy ☐ Conflict of Interest Policy ☐ Continuity of Operations Plan ☐ Diversity Policy ☐ Emergency Preparedness Policy ☐ Whistleblower Policy ☐ Security Policy ☐ Succession/Transition Plan ☐ Fiscal/Internal Controls Policy ☐ Personnel Recruitment/Screening/ Hiring Policy ☐ Personnel Retention and Retention Plan	**For large organizations over $1M operating budget** **We expect your organization to have all of the listed policies in place. If not, please provide explanation and indicate your intentions for adopting same.** **For small organizations under $1M** **We prefer that your organization have all of the listed policies in place but, at a minimum, we are requiring that you have in place all of the policies listed in bold italics. If not, please provide an explanation and indicate your intentions for adopting same.** **(Exception – Whistleblower Policy is required only of large organizations over $1M.)** **While we are not currently asking organizations to upload their policies, please be aware that you may be asked for copies of the policies you claim to have adopted at the time you apply for a State contract.**	**For websites that offer an array of sample policies, direct not-for-profits to** **www.ideaencore.com;** **www.crenyc.org;** **www.nprcenter.org;** **www.councilofnot-forprofits.** **org;** **www.boardsource.org** **Or contact the Coalition for some templates**

Annual Performance Report

- Due July 31
- Leverage: Resources brought to the community through the work of a company that do <u>not go through the company's books.</u>
- Match: Funds that support a company's efforts in their administration of the Neighborhood or Rural Preservation Program and <u>go through the company's books. These funds can be in the form of administrative, capital, or in-kind funds.</u>

Leverage

- NPC was the nonprofit partner on a development project in their service area. Project costs are considered leverage. (Estimated cost: $1.2 million.) None of this funding went through the NPCs books.
- An NPC writes a grant application for their neighborhood (eg.CDBG) and received an award for sidewalks ($1m). The $1m did not go through the company's books but were leveraged for the service area.
- An NPC provides a first-time homebuyer program. The bank financing is leveraged funds.

Match

- Donated space for events, meetings, etc
- An NPC runs a sub-prime prevention program and receives admin money from NYS and money goes to the homeowner from banks. The admin money is MATCH but the money going to the homeowner is LEVERAGE.
- An NPC is working on a CDBG program, the money goes through the agency's books (both admin and non-admin).

Match

- An NPC receives a legislative member item (or donations from a local corporation, etc.).

- An NPC received a developer fee that they utilize for their corporation's administrative expenses.

Match

NPC is a designated CHDO. They receive CHDO project funds for work they did in their service area which counted towards their NPC contract.

Match

NPC received Access, RESTORE, or Weatherization funds that are counted towards their NPC contract. All of these funds are considered matched funds.

Questions

- NPCNYS: Paula Gilbert, Executive Director p.gilbert@npcnys.org 518-432-6757
- NYS Rural Coalition: Colin McKnight, Deputy Director colin@ruralhousing.org 518-458-8696
- NYS Homes & Community Renewal:
- Tracey Jordan tracey.jordan@nyshcr.org 518-474-2057
- Jerry Nagy jerome.nagy@nyshcr.org 716-847-7954