

Herkimer County

Housing Rehabilitation Program

for Seniors

PROCEDURAL MANUAL



HERKIMER COUNTY
Housing Rehabilitation Program for Seniors

Program Management

The Housing Rehabilitation Program for Seniors will be administered by the Herkimer Oneida Counties Comprehensive Planning Program (HOCCPP) and The HomeOwnership Center (HOC), through agreements with Herkimer County (HC).

The following is a list of key tasks that will be conducted in the administration of the Housing Rehabilitation Program for Seniors:

HOCCPP	HC	HOC	Tasks
x	x	x	Attend the Office of Community Renewal Community Development Workshop
x		x	Visit the Office of Community Renewal website at www.nysocr.org for program updates, the Grant Administration Manual, fillable forms, press releases, events, project highlights, etc.
x		x	Review the Grant Administration Manual for program requirements, policies and regulations and appropriate forms.
x			Maintain communications with the Community Developer (CD) throughout the administration of the project including providing periodic updates.
	x		Open a non-interest bearing checking account for the electronic transfer of CDBG funds.
x	x		Review the Grant Agreement and all related documents. Upon approval, sign the Grant Agreement and complete all necessary documents and return to the Office of Community Renewal within 45 days of receipt of the Grant Agreement.
x	x	x	Take the necessary steps to ensure the administration of the grant adheres to the program guidelines in the grant application, Office of Community Renewal Grant Agreement, and the Grant Administration Manual as well as all applicable federal, state and local regulations.
x		x	Procure professional or subrecipient services in compliance with the federal or local procurement requirements, whichever is stricter.
x			Schedule a program administration meeting of all persons involved in the administration of the program to discuss the tasks to be performed, the responsibilities of those involved and to develop an implementation plan.
x			Develop monitoring criteria and a schedule for the monitoring of subrecipients.
x		x	Review all applicable regulations to ensure compliance such as civil rights, conflict of interest, environment and historic preservation requirements, labor standards, lead based paint, national objectives, procurement, anti-displacement and relocation and financial management.

HOCCPP	HC	HOC	Tasks
x	x		Ensure that Contract Provisions (Exhibit 4-1) are included in all contracts.
x		x	Set up all files pertaining to the program following the guidelines listed in the Grant Administration Manual.
x			Complete the Environmental Review process.
x			Submit a Request for Release of Funds and all required documentation to the Community Developer.
		x	Conduct outreach, marketing, client intake/income verification activities.
x			Periodically review the Program Schedule to determine if funds are being expended and the project is progressing in accordance with the approved schedule on file with the Office of Community Renewal.
x			Schedule periodic meetings with all parties involved in the administration and program delivery of the project to maintain good communications and project oversight.
x	x	x	Maintain complete and accurate data in regards to such areas as Civil Rights, National Objective Compliance, Labor Standards, Displacement and Relocation, Conflict of Interest, etc.
x		x	Ensure that all grant administration, project specific and regulatory compliance files are maintained and that such files are available for public review.
x			Submit an Annual Performance Report by January 15 th and a Semi-Annual Progress Status Report by July 15 th to the Office of Community Renewal Community Developer.
x			Submit a Federal Assistance Expenditure Form (Form 10-1) 30 days after the fiscal end date and if applicable, a single or program-specific audit.

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Program Objectives

- To assist elderly residents who are low-income homeowners in addressing necessary repairs through a three-year forgivable loan program.

In order to qualify for the program applicants must: have income at or below 80% of median income; be at least 60 years of age; be current on all property taxes; have homeowner's insurance; and must be the legal owner of the property. Additionally, the property must be a one-to-two unit dwelling that is the applicant's primary residence.

- To provide assistance to bring the house up to housing quality standards and provide energy efficient measures thereby reducing utility costs.
- To assist the homeowner with a forgivable loan that cannot exceed \$25,000 and is only a one-time award per property. A lien is filed on the property for the full award amount as part of the forgivable loan agreement with the customer. If at the end of the three-year period, the borrower retains ownership of the property, the loan is forgiven. If the home is sold prior to that time, the total amount of the forgivable non-interest bearing loan becomes due and payable on a pro-rated basis.
- To continue the successful Housing Rehabilitation Program provided by the 2005 Herkimer County program previously funded through the Governor's Office for Small Cities and now named the NYS Office of Community Renewal.

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File Maintenance

The file maintenance for the program shall be as follows:

Grant Files – documentation and information that relate to the overall funding and administration of the program. *To be maintained by Herkimer County/Herkimer Oneida Counties Comprehensive Planning Program.*

Project Files – specific documentation and information pertaining to each CDBG funded project. *To be maintained by The HomeOwnership Center.*

CDBG files will be maintained by Herkimer County, Herkimer Oneida Counties Comprehensive Planning Program and The HomeOwnership Center for a minimum of three (3) years from final closeout or for the period required by applicable regulation. The following list identifies the files that will be maintained:

I. GRANT FILES

A. Application

- A copy of the NYS CDBG application as submitted to OCR
- Amendments and revisions to the application, if any
- Approval of Amendments
- Authorization to incur costs, if applicable
- Community Needs Description
- Related correspondence

B. Contract

- Award letter
- Special condition information
- Related correspondence
- Contract Documents
- Contract Amendments, if applicable
- Approval of Contract Amendments, if applicable

C. Program Administration

- Implementation Plan
- Program Design (i.e. housing rehabilitation and homeownership program guidelines, economic development program procedures, etc.)
- Professional Service Contracts including all documentation related to the procurement of the contract
- Subrecipient Agreements, if applicable
- Interagency Agreements

- Procurement policy and procedures
- Public Notices, Hearings, Minutes
- Status reports (semi-annual)
- Citizen Participation
- Civil Rights: Equal Opportunity Fair Housing MBE/WBE Section 3 ADA
- National Objectives
- Environmental Review Record
- Grant Closeout
- Labor Standards
- Lead Based Paint
- Anti-Displacement and Relocation
- Conflict of Interest
- Real Property Management
- Monitoring and Related Correspondence
- Historic Preservation
- Blank Forms

D. Financial Management

- Resolution to appropriate funds
- Approved Budget and Amendments
- Record of Commitment of other funds
- Requests for Funds and Disbursement Form (for each request)
- Both NYS CDBG and non-NYS CDBG expenditure information (approvals, invoices, payrolls, etc.)
- Canceled checks, deposit slips, bank statements, etc.
- Certificate of Insurance coverage/bonding for Recipient
- Program Income and accounting reports
- Request for Release of Funds and authorization
- Copies of the Signatory and Depository Forms
- Financial Management Systems
- Chart of Accounts
- List of Source Documents to be Maintained
- Monthly Financial Status Reports (total budget, amount expended, unliquidated obligations, balance)
- Records of funds received and disbursed
- Approved Cost Allocation Plan
- Audit Reports
- Audit Correspondence or related materials
- Related Financial Correspondence
- Grant Closeout

II. PROJECT FILES

A. Housing Rehabilitation (for each unit)

- Case File Checklist
- Application Form - Owner Occupied

