

ANNUAL PERFORMANCE REPORT (FORM 3-1)
INSTRUCTIONS

The Annual Performance Report (APR) is the tool used to collect performance data from the Office of Community Renewal's Recipients. The data collected from the APR is required by the U.S. Department of Housing and Urban Development (HUD) and is submitted to HUD annually in New York State's Annual Performance Report.

Recipients must submit an APR for each project where a Final Performance Report has not been submitted to the Office of Community Renewal. The Report consists of seven sections: Recipient Information; Project Status Narrative; Beneficiary Data and Performance Measurements; Section 3 Summary Information, Program Income; Final Performance Report Documentation; and Certification. Recipients are required to submit a beneficiary data and performance measurement data for **each** activity funded excluding program delivery and administration. For those projects with more than one activity of the same type (i.e. two microenterprise activities with different National Objectives (LMJ vs. LMCMC)), a Beneficiary Data/Performance Measurement subsection must be completed for each of the activities. Please refer to schedule B of your grant agreement for a listing of the project activities funded by the Office of Community Renewal.

Forms that are not applicable to a Recipient's grant do not need to be submitted.

I. RECIPIENT INFORMATION:

Recipient Name: Provide the Name of the Recipient (i.e. Town/Village/City/County of Name of Community).

Report #: Enter the number of the report submitted.

Final: If this report is the final report and final beneficiaries are being reported, check the box.

Project #: Enter the Office of Community Renewal assigned project number.

Reporting Period: Enter the period being reported (i.e. 1/1/11 – 12/31/11).

II. PROJECT STATUS NARRATIVE:

Provide the information requested (A-D). Response to Project Team Update required, regardless of the source of funds. Failure to submit adequate information may delay the processing of the APR.

III. BENEFICIARY DATA/PERFORMANCE MEASUREMENTS:

Beneficiary data represents the number of persons and/or households that benefit from the activity. The Beneficiary Data/Performance Measurements section is divided into subsections: Housing Rehabilitation Activities; Homeownership Activities; Housing Units with Leveraged HOME Funds; Building Information for Housing Units Assisted with CDBG Funds, Public Facilities Activities; Economic Development and Microenterprise Activities with LMJ National Objective; Microenterprise Activities with LMC/MC National Objective; and Façade Activities.

Recipients who have been awarded funding for more than one activity must complete a subsection for each activity.

A. Housing Rehabilitation Activities:

Recipients receiving funding for housing rehabilitation (single-unit or multi-unit), installation of private wells, septic systems, laterals, replacement of manufactured homes, or the conversion of non-

residential into residential units, must complete this subsection. If a recipient is undertaking both multi-unit and single-unit rehabilitation activities; a separate form must be submitted for each activity.

Housing rehabilitation activities are deemed complete when the rehabilitation of the unit is complete, the release of liens is signed, final payments have been issued to all contractors and any rental or previously vacant units have been filled.

Activity Number: Provide the number assigned to the activity as identified on Schedule B of the grant agreement.

Activity Name: Enter the name of the activity.

Owner-Occupied Units:

Complete this section for units that are owner-occupied.

For this reporting period, the total number of:

Units Completed: Enter the total number of owner-occupied units that were rehabilitated during the reporting period.

Completed Units Occupied by LMI: Enter the total number of the owner-occupied units that were rehabilitated that are occupied by low- and moderate-income (LMI) persons.

Persons Benefiting: Enter the total number of persons residing in the owner-occupied units that were rehabilitated during the reporting period.

LMI Persons Benefiting: Enter the total number of LMI persons residing in the owner-occupied units that were rehabilitated.

Units Occupied by the Elderly: Enter the total number of elderly persons residing within the owner-occupied units that were rehabilitated.

Units moved from substandard to standard condition (HQS or Local Code): Enter the total number of rehabilitated units that are no longer substandard as defined by Housing Quality Standards or Local Code.

LEED Certified Energy Star Units: Enter the total number of rehabilitated units that now meet the Energy Star whole-house building and inspection standard. Refer to Exhibit 1 for HUD's Energy Star definition.

Units Made Accessible: Enter the total number of rehabilitated units where accessibility improvements were made (i.e. installation of grab bars, ramps, etc.)

Units Brought Into Compliance With Lead Safety Rules (24 CFR Part 35): Enter the total number of rehabilitated units where activities were undertaken to control known or presumed lead hazards where the rehabilitation was greater than \$5,000 and the units were constructed prior to 1978.

Rental Units:

Complete this section for units that are renter-occupied.

For this reporting period, the total number of:

Units Completed: Enter the total number of renter-occupied units that were rehabilitated during the reporting period.

Completed Units Occupied by LMI: Enter the total number of renter-occupied units that were rehabilitated that are occupied by LMI persons.

Persons Benefiting: Enter the total number of persons residing in the renter-occupied units that were rehabilitated during the reporting period.

LMI Persons Benefiting: Enter the total number of LMI persons residing in the renter-occupied units that were rehabilitated.

Affordable Units: Enter the total number of rehabilitated units that have occupancy restrictions based on income or that are currently occupied by LMI persons.

Units moved from substandard to standard condition (HQS or Local Code): Enter the total number of rehabilitated units that are no longer substandard as defined by Housing Quality Standards or Local Code.

LEED Certified Energy Star Units: Enter the total number of rehabilitated units that now meet the Energy Star whole-house building and inspection standard. Refer to Exhibit 1 for HUD's Energy Star definition.

Section 504 Accessible Units: Enter the total number of rehabilitated units that meet the requirements of Section 504.

Units Brought Into Compliance With Lead Safety Rules (24 CFR Part 35): Enter the total number of rehabilitated units where activities were undertaken to control known or presumed lead hazards where the rehabilitation was greater than \$5,000 and the units were constructed prior to 1978.

Units Created Through the Conversion of Non-Residential Buildings: Enter the total number of units that were created as a result of conversion of non-residential space.

Of the Affordable Units, the number of:

Units Occupied by the Elderly: Enter the total number of affordable units that are currently occupied by elderly persons.

Years of Affordability: Enter the average number of years that the units are required to be affordable.

Units Subsidized with Project Based Rental Assistance by Another Federal, State or Local Program: Enter the total number of affordable units that are provided **project-based** rental assistance. **DO NOT** include units subsidized by section 8 Voucher or HOME tenant-based rental assistance.

Of the Total Rental Units, the Number of:

Permanent Housing Units Designated for Homeless Persons and Families Including Units Receiving Assistance for Operations: Enter the total number of permanent rental units designated specifically for the homeless.

Of the Units for Homeless Person, the Number:

Specifically for the Chronically Homeless: Enter the total number of rental housing units designated for the homeless that are specifically designated for the chronically homeless, defined as an unaccompanied homeless individual with a disabling condition who has either been continuously homeless for a year or more or has had at least four episodes of homelessness in the past three years.

Racial/Ethnic Composition: This information must be provided for all households and persons occupying the owner-occupied and rental units that were rehabilitated during the reporting period.

The racial/ethnic categories represented are designated by HUD. HUD has designated “Hispanic” as an ethnic group not a racial category. For example, a household and/or a person can be identified as both a member of a racial category and ethnic group, but cannot be identified solely as an ethnic group.

Racial Category: Identify the racial category of each household (owner and renter) and person (owner and renter) benefiting from the housing rehabilitation activity for this reporting period. Enter the total number of households (both owner and renter) and persons (both owner and renter) in the cell that represents the racial category of the household and person and provide the total for each column. For households/persons who identify with more than one racial category, select one designation to represent the household. For households/persons that do not provide racial category information, enter the number of households and persons (owner and renter) in the Other Multi-Racial cells.

Hispanic: For each household (owner and renter) and person (owner and renter) identified with a racial category, enter the total number of households (owner and renter) and persons (owner and renter) for this reporting period that also identify that they are of “Hispanic” ethnicity and provide the total for the column.

Beneficiary Income Data:

Median Income: For each household (owner and renter) and person (owner and renter) enter the total number of households and persons benefiting from the rehabilitation activities for each income range (0-30%, 31-50%, 51-80%, and 81% and Above). Provide the total numbers for each column.

Of the Total Benefiting, the Number of: Provide the total number of persons who are elderly, female head of household, and disabled.

B. Homeownership Activities:

Recipients receiving CDBG funding for homeownership assistance activities including down payment and closing cost assistance, principal reduction, and counseling activities must complete this sub-section.

Homeownership activities are deemed complete when the mortgage closing has taken place. Homeownership counseling activities are deemed complete when the persons have completed all required counseling sessions.

Activity Number: Provide the number assigned to the activity as identified on Schedule B of the grant agreement.

Activity Name: Enter the name of the activity.

Homeownership Assistance:

For this reporting period, the total number of: Provide the information for the entire reporting period.

Receiving Homebuyer Assistance: Provide the total number of households and persons receiving direct financial assistance for the purchase of a home.

Of the Number Receiving Assistance, the Number:

Qualified as Low- and Moderate-Income: Enter the number of households and persons who meet the definition of low- and moderate-income (less than 80% of the median household income).

Receiving Counseling: Enter the number of households and persons who receive counseling (either one-on-one or classroom) in addition to the direct financial assistance.

Receiving Down Payment/Closing Cost Assistance: Enter the number of households and persons receiving assistance that is limited to down payment and closing cost assistance.

Who are first time buyers: Enter the number of households and persons receiving assistance who have not owned a home during the three-year period prior to the purchase of the current home; displaced homemakers and single parents who owned a home with their spouse, but no longer reside there; or individuals who owned and resided within a substandard house or in a dwelling that was not permanently affixed to a foundation prior to the purchase of their current residence.

Of the Number of First Time Buyers, the Number:

Receiving Counseling: Of the first time home buyers, enter the number who also received counseling.

Racial/Ethnic Composition: This information must be provided for all households and persons occupying the purchased units during the reporting period.

The racial/ethnic categories represented are designated by HUD. HUD has designated “Hispanic” as an ethnic group not a racial category. For example, a household and/or a person can be identified as both a member of a racial category and ethnic group, but cannot be identified solely as an ethnic group.

Racial Category: Identify the racial category of each household and person benefiting from the homeownership activity for this reporting period. Enter the total number of households and persons in the cell that represents the racial category of the household and person and provide the total for each column. For households/persons who identify with more than one racial category, select one designation to represent the household. For households/persons that do not provide the racial category information, enter the number of households and persons in the Other Multi-Racial cells.

Hispanic: For each household and person identified with a racial category, enter the total number of households and persons for this reporting period that also identify that they are of “Hispanic” ethnicity and provide the total for the column.

Beneficiary Income Data:

Median Income: For each household and person enter the total number of households and persons benefiting from the rehabilitation activities for each income range (0-30%, 31-50%, 51-80%, and 81% and Above). Provide the total numbers for each column.

Of the Total Benefiting, the Number of: Provide the total number of persons who are elderly, female head of household, and disabled.

C. Housing Units with Leveraged HOME Funds:

Recipients of CDBG funding involving rehabilitation, homeownership assistance, or new construction activities are required to report the addresses of those units that also received HOME dollars. For example, if HOME dollars are used for rehabilitation activities in a house that was purchased using CDBG funds during the same time period, the address would need to be recorded.

Addresses of Units Also Receiving HOME Dollars: Provide the address including street name and number, city, state and zip code for the units also receiving HOME dollars.

Amount of HOME Dollars Leveraged: Provide the amount of HOME dollars invested in the unit.

Housing Activity Types (HR, HO, HC): Identify whether the CDBG activity undertaken was for Housing Rehabilitation (HR), Homeownership (HO), or Housing New Construction (HC).

Single Unit (SU) or Multi Unit (MU): Identify whether the CDBG activity occurred in a single-unit structure (one unit) or a multi-unit structure (2 or more units).

D. Building Information for Housing Units Assisted with CDBG Funds

Recipients that received funding for housing activities must provide the information requested for each property address funded with NYS CDBG funding where the units/building activities have been completed during this reporting period. The building information provided on this form will be used to ensure the accuracy of the New York State Housing Report Card data.

Building Address: Provide the full street address of the property including street number, name, municipality and zip code.

Owner's Name: Provide the full name of the property owner.

Project Completion Date: Provide the date the project was completed.

Total # of Units: Provide the total # of units that were funded with NYS CDBG funds.

of New Units: Provide the total number of new units created with NYS CDBG funds.

of Rehabilitated Units: Provide the total number of units rehabilitated with NYS CDBG funds.

of Units Purchased: Provide the total number of units purchased with NYS CDBG funds.

of Units Converted (non-residential to residential): Provide the total number of units of new residential units that resulted from a conversion funded with NYS CDBG funds.

E. Public Facilities Activities:

Recipients must complete this sub-section if they received funding for public facilities such as senior centers; public infrastructure such as public water or sewer projects; meters; streetscape improvements; and public services such as code enforcement. One form must be submitted for each of the above activities funded with CDBG funds. Activities are deemed complete when the activity is completed and persons are benefiting from the completed activity. Only report on persons benefiting from the operational part of the activity (i.e. if the activity is a waterline replacement project consisting of two waterlines and one is completed and operational and the other is still under construction, only report the beneficiaries of the completed water line).

Activity Number: Provide the number assigned to the activity as identified on Schedule B of the grant agreement.

Activity Name: Enter the name of the activity.

Community Facilities and Infrastructure:

For this reporting period, the total number of:

Persons Assisted in Project Area: Enter the total number of persons in the project area who benefited from the activity.

LMI Persons In Project Area: Enter the total number of low- and moderate-income (LMI) persons in the project area.

Households in Project Area: Enter the total number of households in the project area.

LMI Households in Project Area: Enter the total number of LMI households in the project area.

% of LMI in Project Area: Enter the percentage of LMI persons in the project area.

Of the Total Persons Assisted, the Number of Persons: Select only one.

With New Access to Facility, Infrastructure, Service or Benefit: Enter the total number of persons who now have access to the facility where no facility previously existed.

With Improved access to Facility, Infrastructure, Service or Benefit: Enter the total number of persons who now have access to a facility that has been improved by expanding the facility or improving the facility.

Served by Facility, Infrastructure, Service or Benefit that is No Longer Substandard: Enter the total number of persons that now have access to a facility that has been measurably improved or that now meets a quality standard (i.e. a water system has been improved and now no longer is under consent order from Department of Health).

Racial/Ethnic Composition:

This information must be provided for all households and persons benefiting from the public facility, infrastructure, service or benefit.

The racial/ethnic categories represented are designated by HUD. HUD has designated “Hispanic” as an ethnic group not a racial category. For example, a household and/or a person can be identified as both a member of a racial category and ethnic group, but cannot be identified solely as an ethnic group.

Racial Category: Identify the racial category of each household and person benefiting from the public facility activity for this reporting period. Enter the total number of households and persons in the cell that represents the racial category of the household and person and provide the total for each column. For households/persons who identify with more than one racial category, select one designation to represent the household. For households/persons that do not provide racial category information, enter the number of households and persons in the Other Multi-Racial cells.

Hispanic: For each household and person identified with a racial category, enter the total number of households and persons for this reporting period that also identify that they are of “Hispanic” ethnicity and provide the total for the column.

Beneficiary Income Data:

Median Income: For each household (owner and renter) and person (owner and renter) enter the total number of households and persons benefiting from the public facility activity for each income range (0-30%, 31-50%, 51-80%, and 81% and above). Provide the total numbers for each column.

Of the Total Benefiting, the Number of: Provide the total number of persons who are elderly, female head of household, and disabled.

F. LMJ National Objective - Economic Development and Microenterprise Activities:

Recipients must complete this subsection if they received funding for economic development and microenterprise activities where job creation or retention is required (LMJ National Objective). The beneficiaries can be reported once the jobs have been created and filled or retained. **Each microenterprise business assisted is considered a separate activity and one form must be submitted for each activity/business assisted.**

Activity Number: Provide the number assigned to the activity as identified on Schedule B of the grant agreement.

Activity Name: Enter the name of the activity.

Job Creation: New jobs created as a result of CDBG assistance

For this reporting period, the total number of:

Full Time Jobs: Enter the total number of full time jobs created.

Full Time Jobs Made Available to LMI: Enter the total number of full time jobs that were made available to low- and moderate-income (LMI) persons.

Full Time Jobs Taken By LMI Persons: Enter the total number of full time jobs that were actually filled by LMI persons.

Part Time Jobs: Enter the total number of part time jobs created.

Part Time Jobs Made Available to LMI: Enter the total number of part time jobs made available to LMI persons.

Part Time Jobs Taken By LMI: Enter the total number of part time jobs that were actually filled by LMI persons.

Average # of Hours Worked Per Week for the Part Time Jobs: Enter the average number of hours that were worked by the persons taking the part time jobs.

Total Jobs with Employer Sponsored Health Care Benefits: Enter the total number of full time and part time jobs that were created where the employer provided or provides health care benefits to the persons taking the jobs.

Total Jobs Taken by Previously Unemployed Persons: Enter the total number of full-time and part-time jobs that were taken by people who were previously unemployed and seeking employment.

Job Retention: Jobs that otherwise would have been lost if not for CDBG assistance. Recipients must provide documentation that but for NYS CDBG assistance, the jobs would have been lost.

For this reporting period, the total number of:

Full Time Jobs: Enter the total number of full time jobs retained.

Full Time Jobs Taken By LMI Persons: Enter the total number of full time jobs that were held and continue to be held by low- and moderate-income persons.

Part Time Jobs: Enter the total number of part time jobs (positions) created.

Part Time Jobs Taken By LMI: Enter the total number of part time jobs (positions) that were held and continue to be held by low- and moderate-income persons.

Average # of Hours Worked Per Week for the Part Time Jobs: Enter the average number of hours that were worked by the persons holding the part time jobs.

Total Jobs with Employer Sponsored Health Care Benefits: Enter the total number of full time and part time jobs that were created where the employer provided or provides health care benefits to the persons taking the jobs.

Job Classifications:

Recipients are required to provide job classification information on all of the jobs that were created or retained whether full time or part time. For each of the job classifications listed provide the total number of positions either created or retained based on the following definitions:

Officials and Managers: Occupations requiring administrative personnel who set broad policies, exercise overall responsibility of execution of these policies, and individual departments or special phases of a firm's operations. This includes: Officials, Executives, middle management,

plant managers and superintendents, salaried supervisors who are members of management, purchasing agents and buyers, and kindred workers.

Professional: Occupations requiring either college graduation or experience of such kind and amount as to provide a comparable background includes: accountants and auditors, airplane pilots and navigators, architects, artists chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, registered professional nurses, professional and labor relations workers, physical scientists, physicians, social scientists, teachers, and kindred workers.

Technicians: Occupations requiring a combination of basic scientific knowledge and manual skill which can be obtained through about 2 years of post-high school education such as is offered in many technical institutions and junior colleges, or through equivalent on the job training. This includes: computer programmers and operators, drafters, engineering aides, junior engineers, mathematic aides, licensed practical or vocational nurses, photographers, radio operators, scientific assistants, surveyors, technical illustrators, technicians (medical, dental, electronic, physical science) and kindred workers.

Sales: Occupations engaging wholly or primarily in direct selling. This includes: advertising agenda and sales workers; insurance agents and brokers; real estate agents and brokers; sales workers; demonstrators and retail sales workers; sales clerks, grocery clerks and cashiers; and kindred workers.

Office and Clerical: Includes all clerical-type work regardless of level of difficulty, where the activities are predominantly non-manual though some manual work not directly involved with altering or transporting the products is included. This includes: bookkeepers, cashiers, collectors (bills and accounts), messengers and office helpers, office machine operators, shipping and receiving clerks, stenographers, typists, and secretaries, telegraph and telephone operators, and kindred workers.

Craft Workers (skilled): Manual workers of relatively high level having a thorough and comprehensive knowledge of the processes involved in their work. Exercise considerable independent judgment and usually receive an extensive period of training. This includes: the building trades, hourly paid supervisors and lead operators (who are not members of management), mechanic and repairers, skilled machining occupations, composers and typesetters, electricians, engravers, job setters (metal), motion picture projectionists, pattern and model makers, stationary engineers, tailors, and kindred workers.

Operatives (semi-skilled): Workers who operate machines or other equipment or perform other factory-type duties of intermediate skill level which can be mastered in a few weeks and require only limited training. This includes: apprentices (auto mechanics, plumbers, electricians, machinists, mechanics, building trades, metal working trades, printing trades, etc.), operatives, attendants (auto service and parking), blasters, chauffeurs, delivery workers, dress makers and sewers (except factory), driers and furnace workers, heaters (metal), laundry and dry cleaning, operatives, milliners, mine operatives and laborers, motor operators, oilers and greasers (except auto), painters (except construction and maintenance), photographic process workers, boiler tenders, truck and tractor drivers, weavers (textile), welders and flame metals workers, and kindred workers.

Laborers (unskilled): Workers in manual occupations which generally require no special training perform elementary duties that may be learned in a few days and require the application of little or no independent judgment. This includes: garage laborers; car washers and greasers; gardeners (except farm) and ground keepers; stevedores; wood choppers; laborers performing lifting, digging, mixing loading, and pulling operations; and kindred workers.

Service Workers: Workers in both protective and non-protective service occupations. This includes attendants (hospital and other institutions, professional and personal service, including nurse's aides and orderlies), barbers, chairworkers and cleaners, cooks (except household), counter and fountain workers, elevator operators, firefighters and fire protection guards, door keepers, stewards, janitors, police officers and detectives, porters, waiters and waitresses, and kindred workers

Racial/Ethnic Composition:

This information must be provided for all persons benefiting from the job creation or retention.

The racial/ethnic categories represented are designated by HUD. HUD has designated "Hispanic" as an ethnic group not a racial category. For example, a household and/or a person can be identified as both a member of a racial category and ethnic group, but cannot be identified solely as an ethnic group.

Racial Category: Identify the racial category of each person benefiting from the job creation or retention for this reporting period. Enter the total number of persons in the cell that represents the racial category of the person and provide the total for each column. For persons that do not provide racial category information, enter the number of persons in the Other Multi-Racial cells.

Hispanic: For each person identified with a racial category, enter the total number of persons for this reporting period that also identify that they are of "Hispanic" ethnicity and provide the total for the column.

Beneficiary Income Data:

Median Income: For each job created or retained enter the total number of persons benefiting from the job creation/retention activities for each income range (0-30%, 31-50%, 51-80%, and 81% and above). Provide the total numbers for each column.

Of the Total Benefiting, the Number of: Provide the total number of persons who are elderly, female head of household, and disabled.

Microenterprise Training Activities

Persons that Completed the Training Program: Provide the total number of persons who completed a training program during the reporting period.

Business Information:

Recipients undertaking economic development and microenterprise activities are required to provide the following information regarding the businesses assisted through their program regardless of the National Objective selected.

For this Reporting Period, the Total Number of:

Businesses Assisted: Provide the total number of businesses receiving financial assistance.

Of the Total Number of Businesses Assisted, the Total Number of:

New Businesses Assisted: Provide the total number of newly formed businesses who were assisted through the program.

Existing Businesses Assisted: Provide the total number of existing businesses who received assistance through the program.

Businesses Assisted with Commercial Façade Treatment and/or Rehabilitation: Provide the total number of businesses who received assistance for the purpose of improving exterior façades or conducting commercial rehabilitation.

Businesses Assisted that Provide Goods or Services to Meet the Needs of a Service Area, Neighborhood, or Community: Provide the number of businesses that provide essential goods or services to a specific area.

Of the Total Number of Existing Businesses, the Total Number of:

Expanded Businesses: Enter the total number of businesses that expanded as a result of the assistance.

Relocated Businesses: Enter the total number of businesses that relocated as a result of the assistance.

Businesses Assisted:

Names of Businesses Assisted: Provide a listing of all of the businesses assisted during the reporting period.

DUNS # for Businesses Assisted: The Federal government requires that all applicants for Federal grants and cooperative agreements with the exception of individuals other than sole proprietors have a Data Universal Numbering System number (DUNS #) that will be used to better identify related organizations that are receiving federal funding and to provide consistent name and address data for electronic grant application systems. The DUNS # is a unique nine-digit identification number provided by Dun & Bradstreet (D&B). The DUNS # is site-specific. Therefore, each distinct physical location of an entity (such as branches, divisions, and headquarters) may be assigned a DUNS #. In many instances, a central DUNS # for each major division/department/agency that applies for a grant may be sufficient.

Obtaining a DUNS #

Verify Assignment of DUNS #: If you are not sure if you have a DUNS # or have misplaced the number, contact D&B at **1-800-234-3867** to request the previously assigned number.

Obtaining DUNS #: If you do not have a DUNS #, contact D&B at, **1-800-234-3867** or request DUNS # online at <http://www.dnb.com>.

G. LMC/MC National Objective -Microenterprise Activities:

Recipients must complete this sub section for microenterprise activities that are designed to assist only low- and moderate-income (LMI) businesses or persons. Examples of these activities include training and technical assistance and financial assistance to an LMI business. Note: Activities funded under this category can ONLY provide assistance to LMI persons or businesses. **Each microenterprise business assisted is considered a separate activity and one form must be submitted for each activity/business assisted.**

Activities are deemed complete under this activity once the training has been provided or the loan has been closed.

Activity Number: Provide the number assigned to the activity as identified on Schedule B of the grant agreement.

Activity Name: Enter the name of the activity.

Low- and Moderate-Income Microenterprise Assistance:

Training/Technical Assistance Activities: Complete this section only if CDBG funds were used to provide training or technical assistance to low- and moderate-income persons. NOTE: If training, technical assistance, and microenterprise loans are separate activities, one form must be submitted for each of the activities. DO NOT combine totals on one form.

For This Reporting Period, The Total Number of:

Persons That Enrolled in Training Program: Enter the total number of LMI persons who enrolled in classroom training programs during the reporting period.

Persons That Completed Training Program: Enter the total number of LMI persons who completed classroom training during the reporting period.

Persons Receiving Technical Assistance and Business Support (In Addition to Training Program, if applicable): Enter the total number of LMI persons who received one-on-one technical assistance and business support during the reporting period. Numbers reported here should be in addition to any training if provided.

Business Information: Complete this section for all microenterprise LMC/MC activities including training and technical assistance. NOTE: If training, technical assistance, and microenterprise loans are separate activities, one form must be submitted for each of the activities. DO NOT combine totals on one form.

For this Reporting Period, The Total Number of:

Microenterprises Receiving CDBG Assistance: Enter the total number of LMI microenterprises receiving a grant or a loan.

Of the Total Number of Microenterprises Assisted, the Total Number of:

New Microenterprises Assisted: Enter the total number of new LMI businesses assisted during the reporting period.

Existing Microenterprises Assisted: Enter the total number of existing LMI businesses assisted during the reporting period.

Microenterprises Assisted with Commercial Façade Treatment and/or Rehabilitation: Provide the total number of microenterprise businesses who received assistance for the purpose of improving exterior facades or conducting commercial rehabilitation.

Microenterprises Assisted that Provide Goods or Services to Meet the Needs of a Service Area, Neighborhood, or Community: Provide the number of businesses that provide essential goods or services to a specific area.

Of the Total Number of Existing Microenterprises, the Total Number of:

Expanded Microenterprises: Enter the total number of LMI microenterprises that expanded as a result of the assistance.

Relocated Microenterprises: Enter the total number of LMI microenterprises that relocated as a result of the assistance.

Racial/Ethnic Composition: This information must be provided for all persons benefiting from the training, technical assistance or businesses assistance.

The racial/ethnic categories represented are designated by HUD. HUD has designated “Hispanic” as an ethnic group not a racial category. For example, a household and/or a person can be identified as both a member of a racial category and ethnic group, but cannot be identified solely as an ethnic group.

Racial Category: Identify the racial category of each person benefiting from the microenterprise assistance for this reporting period. Enter the total number of persons in the cell that represents the

racial category of the person and provide the total for each column. For persons that do not provide racial category information, enter the number of persons in the Other Multi-Racial cells.

Hispanic: For each person identified with a racial category, enter the total number of persons for this reporting period that also identify that they are of “Hispanic” ethnicity and provide the total for the column.

Beneficiary Income Data:

Median Income: For each job created or retained enter the total number of persons benefiting from the microenterprise assistance for each income range (0-30%, 31-50%, 51-80%, and 81% and above). Provide the total numbers for each column.

Of the Total Benefiting, the Number of: Provide the total number of persons who are elderly, female head of household, and disabled.

Businesses Assisted:

Names of Businesses Assisted: Provide a listing of all of the businesses assisted during the reporting period.

DUNS # for Businesses Assisted: The Federal government requires that all applicants for Federal grants and cooperative agreements with the exception of individuals other than sole proprietors have a Data Universal Numbering System number (DUNS #) that will be used to better identify related organizations that are receiving federal funding and to provide consistent name and address data for electronic grant application systems. The DUNS # is a unique nine-digit identification number provided by Dun & Bradstreet (D&B). The DUNS # is site-specific. Therefore, each distinct physical location of an entity (such as branches, divisions, and headquarters) may be assigned a DUNS #. In many instances, a central DUNS # for each major division/department/agency that applies for a grant may be sufficient.

Obtaining a DUNS #

Verify Assignment of DUNS #: If you are not sure if you have a DUNS # or have misplaced the number, contact D&B at **1-866-705-5711** to request the previously assigned number.

Obtaining a DUNS#: If you do not have a DUNS #, contact D&B at, **1-866-705-5711** or request a DUNS # online at <http://www.dnb.com>.

H. Façade Activities:

Façade activities may be able to meet more than one National Objective resulting in a need to provide different data. In addition, because the façade activities are benefiting businesses, the business reporting information is also required. Recipients are required to complete the appropriate sections for the façade activities undertaken.

For LMA National Objectives, façade activities are deemed completed when all proposed façade activities have been completed, funds have been fully expended, and the area is benefiting from the improvements.

For LMJ National Objectives, façade activities are deemed completed when each business has received the assistance, loans have closed, façade construction has been completed, and the proposed job(s) has been created and filled.

Activity Number: Provide the number assigned to the activity as identified on Schedule B of the grant agreement.

Activity Name: Enter the name of the activity.

LMA National Objectives:

For this reporting period, the total number of:

Persons Assisted in Project Area: Enter the total number of persons in the project area who benefited from the activity.

LMI Persons In Project Area: Enter the total number of low- and moderate-income (LMI) persons in the project area.

Households in Project Area: Enter the total number of households in the project area.

LMI Households in Project Area: Enter the total number of LMI households in the project area.

% of LMI in Project Area: Enter the percentage of LMI **persons** in the project area.

Of the Total Persons Assisted, The Number of Persons: Select only one.

With New Access to Facility, Infrastructure, Service or Benefit: Enter the total number of persons who now have access to the facility where the facility did not previously exist.

With Improved access to Facility, Infrastructure, Service or Benefit: Enter the total number of persons who now have access to a facility that has been improved by expanding the facility or improving the facility.

Served by Facility, Infrastructure, Service or Benefit that is No Longer Substandard: Enter the total number of persons that now have access to a facility that has been measurably improved or that now meets a quality standard.

LMJ National Objective:

Job Creation:

For this reporting period, the total number of:

Full Time Jobs: Enter the total number of full time jobs created.

Full Time Jobs Made Available to LMI: Enter the total number of full time jobs that were made available to LMI persons.

Full Time Jobs Taken By LMI Persons: Enter the total number of full time jobs that were actually filled by LMI persons.

Part Time Jobs: Enter the total number of part time jobs (positions) created.

Part Time Jobs Made Available to LMI: Enter the total number of part time jobs (positions) made available to LMI persons.

Part Time Jobs Held By LMI: Enter the total number of part time jobs (positions) that were actually filled by LMI persons.

Average # of Hours Worked Per Week for the Part Time Jobs: Enter the average number of hours that were worked by the persons taking the part time jobs.

Total Jobs with Employer Sponsored Health Care Benefits: Enter the total number of full time and part time jobs that were created where the employer provide health care benefits to the persons taking the jobs.

Total Jobs Taken by Previously Unemployed Persons: Enter the total number of full time and part time jobs that were taken by people who were previously unemployed and seeking employment.

Job Retention: Jobs that otherwise would have been lost if not for CDBG assistance. Recipients must provide documentation that but for NYS CDBG assistance, the jobs would have been lost.

For this reporting period, the total number of:

Full Time Jobs: Enter the total number of full time jobs retained.

Full Time Jobs Held By LMI Persons: Enter the total number of full time jobs that were held and continue to be held by LMI persons.

Part Time Jobs: Enter the total number of part time jobs (positions) created.

Part Time Jobs Taken By LMI: Enter the total number of part time jobs (positions) that were held and continue to be held by LMI persons.

Average # of Hours Worked Per Week for the Part Time Jobs: Enter the average number of hours that were worked by the persons holding the part time jobs.

Total Jobs with Employer Sponsored Health Care Benefits: Enter the total number of full time and part time jobs that were created where the employer provided or provides health care benefits to the persons taking the jobs.

Job Classifications:

Recipients are required to provide job classification information on all of the jobs that were created or retained whether full time or part time. For each of the job classifications listed provide the total number of positions either created or retained based on the following definitions:

Officials and Managers: Occupations requiring administrative personnel who set broad policies, exercise overall responsibility of execution of these policies, and individual departments or special phases of a firm's operations. This includes: Officials, Executives, middle management, plant managers and superintendents, salaried supervisors who are members of management, purchasing agents and buyers, and kindred workers.

Professional: Occupations requiring either college graduation or experience of such kind and amount as to provide a comparable background includes: accountants and auditors, airplane pilots and navigators, architects, artists chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, registered professional nurses, professional and labor relations workers, physical scientists, physicians, social scientists, teachers, and kindred workers.

Technicians: Occupations requiring a combination of basic scientific knowledge and manual skill which can be obtained through about 2 years of post-high school education such as is offered in many technical institutions and junior colleges, or through equivalent on the job training. This includes: computer programmers and operators, drafters, engineering aides, junior engineers, mathematic aides, licensed practical or vocational nurses, photographers, radio operators, scientific assistants, surveyors, technical illustrators, technicians (medical, dental, electronic, physical science) and kindred workers.

Sales: Occupations engaging wholly or primarily in direct selling. This includes: advertising agenda and sales workers; insurance agents and brokers; real estate agents and brokers; sales workers; demonstrators and retail sales workers; sales clerks, grocery clerks and cashiers; and kindred workers.

Office and Clerical: Includes all clerical-type work regardless of level of difficulty, where the activities are predominantly non-manual though some manual work not directly involved with altering or transporting the products is included. This includes: bookkeepers, cashiers, collectors (bills and accounts), messengers and office helpers, office machine operators, shipping and

receiving clerks, stenographers, typists, and secretaries, telegraph and telephone operators, and kindred workers.

Craft Workers (skilled): Manual workers of relatively high level having a thorough and comprehensive knowledge of the processes involved in their work. Exercise considerable independent judgment and usually receive an extensive period of training. This includes: the building trades, hourly paid supervisors and lead operators (who are not members of management), mechanic and repairers, skilled machining occupations, compositors and typesetters, electricians, engravers, job setters (metal), motion picture projectionists, pattern and model makers, stationary engineers, tailors, and kindred workers.

Operatives (semi-skilled): Workers who operate machines or other equipment or perform other factory-type duties of intermediate skill level which can be mastered in a few weeks and require only limited training. This includes: apprentices (auto mechanics, plumbers, electricians, machinists, mechanics, building trades, metal working trades, printing trades, etc.), operatives, attendants (auto service and parking), blasters, chauffeurs, delivery workers, dress makers and sewers (except factory), driers and furnace workers, heaters (metal), laundry and dry cleaning, operatives, milliners, mine operatives and laborers, motor operators, oilers and greasers (except auto), painters (except construction and maintenance), photographic process workers, boiler tenders, truck and tractor drivers, weavers (textile), welders and flame metals workers, and kindred workers.

Laborers (unskilled): Workers in manual occupations which generally require no special training perform elementary duties that may be learned in a few days and require the application of little or no independent judgment. This includes: garage laborers; car washers and greasers; gardeners (except farm) and ground keepers; stevedores; wood choppers; laborers performing lifting, digging, mixing loading, and pulling operations; and kindred workers.

Service Workers: Workers in both protective and non-protective service occupations. This includes attendants (hospital and other institutions, professional and personal service, including nurse's aides and orderlies), barbers, chairworkers and cleaners, cooks (except household), counter and fountain workers, elevator operators, firefighters and fire protection guards, door keepers, stewards, janitors, police officers and detectives, porters, waiters and waitresses, and kindred workers.

Racial/Ethnic Composition:

This information must be provided for all persons benefiting from the job creation or retention.

The racial/ethnic categories represented are designated by HUD. HUD has designated "Hispanic" as an ethnic group not a racial category. For example, a household and/or a person can be identified as both a member of a racial category and ethnic group, but cannot be identified solely as an ethnic group.

Racial Category: Identify the racial category of each person benefiting from the façade activities for this reporting period. Enter the total number of persons in the cell that represents the racial category of the person and provide the total for each column. For persons that do not provide racial category information, enter the number of persons in the Other Multi-Racial cells.

Hispanic: For each person identified with a racial category, enter the total number of persons for this reporting period that also identify that they are of "Hispanic" ethnicity and provide the total for the column.

Beneficiary Income Data:

Median Income: Enter the total number of persons benefiting from the façade activity for each income range (0-30%, 31-50%, 51-80%, and 81% and Above). Provide the total numbers for each column.

Of the Total Benefiting, the Number of: For each person, provide the total number of persons who are elderly, female head of household, and disabled.

Business Information:

Recipients undertaking economic development and microenterprise activities are required to provide the following information regarding the businesses assisted through their program regardless of the National Objective selected.

For this Reporting Period, the Total Number of:

Businesses Assisted: Provide the total number of businesses receiving direct financial assistance.

Of the Total Number of Businesses Assisted, the Total Number of:

New Businesses Assisted: Provide the total number of newly formed businesses who were assisted through the program.

Existing Businesses Assisted: Provide the total number of existing businesses who received assistance through the program.

Businesses Assisted with Commercial Façade Treatment and/or Rehabilitation: Provide the total number of businesses who received assistance for the purpose of improving exterior façades or conducting commercial rehabilitation.

Businesses Assisted that Provide Goods or Services to Meet the Needs of a Service Area, Neighborhood, or Community: Provide the number of businesses that provide essential goods or services to a specific area.

Of the Total Number of Existing Businesses, the Total Number of:

Expanded Businesses: Enter the total number of businesses that expanded as a result of the assistance.

Relocated Businesses: Enter the total number of businesses that relocated as a result of the assistance.

Businesses Assisted:

Names of Businesses Assisted: Provide a listing of all of the businesses assisted during the reporting period.

DUNS # for Businesses Assisted: The Federal government requires that all applicants for Federal grants and cooperative agreements with the exception of individuals other than sole proprietors have a Data Universal Numbering System number (DUNS #) that will be used to better identify related organizations that are receiving Federal funding and to provide consistent name and address data for electronic grant application systems. The DUNS # is a unique nine-digit identification number provided by Dun & Bradstreet (D&B). The DUNS # is site-specific. Therefore, each distinct physical location of an entity (such as branches, divisions, and headquarters) may be assigned a DUNS #. In many instances, a central DUNS # for each major division/department/agency that applies for a grant may be sufficient.

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IV. SECTION 3 SUMMARY INFORMATION:

All Recipients of CDBG funds must provide Section 3 summary information. As per 24 CFR Part 135, Recipients must make economic opportunities such as employment, training and contracting opportunities available to Section 3 Residents or Business concerns. A Section 3 Resident is defined as (1) Residents of public housing or Indian housing; or (2) Individuals who reside within the metropolitan area or non-metropolitan county in which the Section 3 covered assistance is expended and whose income does not exceed the local HUD income limits for low-income households. A Section 3 Business Concern meets one of the following: (1) a business that is 51% or more owned by Section 3 residents; (2) a business whose permanent, full-time employees include persons, at least 30% of whom are currently Section 3 residents, or within 3 years of the date of first employment with the firm were Section 3 resident; or (3) a business that provides evidence of a commitment to subcontract in excess of 25% of the dollar amount of all subcontracts to be awarded to businesses that meet the qualifications.

A. Recipient Compliance:

Select the appropriate response to the questions in this section.

B. Covered Contracts:

Select the appropriate response to the questions in this section and complete the information under Construction Contracts and Non Construction Contracts using the definitions provided above.

C. Employment and Training:

Provide the following for each employee hired by either the Recipient or person trained in relation to the funded project. Add additional pages as necessary.

Number of New Hires: Indicate the number of new hires in each of the job categories listed (add additional categories as needed).

of New Hires that are Section 3 Residents: Using the definition of Section 3 Residents, provide the total number of new hires in each of the job categories listed who are Section 3 Residents.

% of Aggregate # of Staff Hours of New Hires that are Section 3 Residents: For each job category, indicate the total percentage of staff hours for newly hired Section 3 residents based on an aggregate number of hours worked by those residents.

% of Total Staff Hours for Section 3 Employees and Trainees: For each job category, indicate the total percentage of staff hours for both Section 3 employees and trainees.

of Section 3 Trainees: Indicate the total number of trainees who are qualified as Section 3 Residents.

D. Outreach:

Indicate what outreach efforts were conducted to ensure that economic opportunities were provided to Section 3 Residents and Businesses. Check as many boxes as are applicable. If “Other” is selected provide a brief description of the outreach efforts conducted.

V. PROGRAM INCOME: Recipients who have generated over \$25,000 in program income from all projects must provide a listing of all program income generated in the previous program year. List all Office of Community Renewal funded projects that generated \$25,000 or more in program income (revenue) during the reporting year and provide the total amount generated. Recipients earning program income must have an approved program income implementation plan on file with the Office of Community Renewal. If an approved plan is not on file, please submit a plan with this Annual Performance Report. For additional information regarding Program Income, refer to the *Grant Administration Manual, Chapter 3 – Financial Management*.

Project Number: Provide the Office of Community Renewal project number for each program that earned program income in the previous program year.

Program Income Amount: Provide the amount of program income earned through each project identified in the Project Number column.

Total Amount of Program Income: Provide the sum of all program income earned during the program year.

Certification of Program Income: Complete as instructed on the report.

VI. FINAL PERFORMANCE REPORT:

Recipients who have expended all CDBG project funds excluding program delivery and administration and who have met all beneficiary and accomplishment numbers are eligible to submit their Final Performance Report. Recipients submitting their Final Performance Report must complete Section VI. Information must be provided for each activity funded.

Note: The following information may not be applicable for Public Facilities projects.

Activity Number: Enter the Activity number.

Total Number of Grants: Enter the total number of grants issued directly to persons or businesses.

Total Number of Loans: Enter the total number of loans issued directly to persons or businesses.

CDBG Direct Loan: Provide the average interest rate, average amortization period (in months) and the total amount of CDBG funds used for direct loans.

CDBG Deferred Payment Loan: Provide the average interest rate, average amortization period (in months) and the total amount of CDBG funds used for deferred payment loans.

CDBG Grant: Provide the total amount of CDBG funds used for direct grants.

VII. CERTIFICATION OF THE ANNUAL PERFORMANCE REPORT:

Enter the requested information. The Chief Elected Official must not sign and date the form until after all information has been verified and the Report has been signed and dated by the preparer.

EXHIBIT 1:
Energy Star Sets Energy Performance Standards for Building

WHAT IS THE ENERGY STAR BUILDING PERFORMANCE STANDARD?

- For residential single and multifamily new construction up to 3 stories, it is a system for achieving *and* verifying a certain level of performance with respect to energy efficiency.
- Performance is certified by independent third-party contractors

The Energy Star standard is uniform throughout the United States, and a national infrastructure exists for implementation.

- ENERGY STAR is not a new building code, or specification. It does not replace existing energy codes or building codes. “Efficiency” means total purchased house energy consumption, not only heating, cooling and hot water. [New in ‘06]
- An Energy Star home is *at least* 30% more efficient than a comparable home built to meet the 1993 national Model Energy Code or 15% more efficient than state energy code, whichever is more rigorous. See www.energystar.gov for more information, including the new performance guidelines to be applied for most homes beginning July 1, 2006.
- An Energy Star Home/Building is defined as one which has been *certified* through inspection and *testing* as meeting the Energy Star Qualified New Homes Standard. To achieve this rating the building must score less than or equal to 80 in the North (≤ 85 South) on the Mortgage Industry Home Energy Rating Scale (HERS).
- HERS Scores give a numeric value between 0 and 100 indicating the relative energy efficiency of a given home as compared with the HERS Energy-Efficient Reference Home (EERH) as specified by the HERS Council Guidelines. The lower the score, the more efficient the home. A home with zero energy use (total energy consumption) scores 0.

EXHIBIT 1:
Energy Star Sets Energy Performance Standards for Building

WHAT DO HERS CONTRACTORS DO?

- Review builder's plans for Energy Star performance.
- Evaluate and rate energy efficiency of buildings.
- Provide independent 3rd Party inspections AND testing.

Inspection – The home energy rater inspects the home and, with software, measures its energy characteristics, such as insulation levels, window efficiency, wall-to-window ratios, the heating and cooling system efficiency, the solar orientation of the home, and the water heating system.

Testing – Diagnostic testing, such as blower door for building air leakage and duct blaster testing for forced air systems leakage is part of the rating.

NOW HOW DO WE GET ALL THIS INTO [HUD] COMMUNITY PLANNING AND DEVELOPMENT'S HOUSING PROGRAMS?

Incorporate the following language into your RFP's or procurement process for housing:

“All new and gut rehabilitation residential building up to three stories shall be designed to meet the standard for Energy Star Qualified New Homes (≤ 80 [85 for South] and >70 on the HERS Rating Scale). All procedures used for this rating shall comply with National Home Energy Rating System guidelines.”

Believe it or not this is the only thing *you* have to do!
The developer takes care of the rest.

ENERGY STAR REFERENCES [All are “http://” sites.]

www.energystar.gov

HUD's “Energy Star for Grantees” presentation for workshops:
www.hud.gov/offices/cpd/library/energy/energystargrantees.ppt

www.rehabadvisor.pathnet.org/index.asp
www.natresnet.org/programs/default.htm

Very comprehensive technical stuff in English:
www.buildingscience.com

DOE Webpage for State Energy Code:
www.energycodes.gov

EIA Webpage for Energy uses by State/Source/Sector:
www.eia.doe.gov/emeu/states/states.html