

CFY19 Avenue NYC Organizational Development Program Guidelines



Overview

The New York City Department of Small Business Services' (SBS) Avenue NYC program is a competitive grant program that funds and builds the capacity of community-based development organizations (CBDOs) across the five boroughs to execute commercial revitalization initiatives. Avenue NYC is funded through the U.S. Department of Housing and Urban Development's Community Development Block Grant (CDBG) Program, which targets investments in low- to moderate-income neighborhoods.

City-wide Organizational Development in City Fiscal Year 2019

In addition to awarding neighborhood-based CBDOs with grant funding to carry out commercial revitalization programs in low- and moderate-income communities (applications for these awards are now closed for CFY19), SBS also releases a separate grant application for Organizational Development. These awards fund nonprofit organizations to provide city-wide services and technical assistance to enhance the **project and fiscal management, program execution, legal compliance, leadership and strategic capabilities** of CBDOs implementing commercial revitalization activities benefiting residents of low-to-moderate income communities across the five boroughs.

SBS will consider multi-year funding applications, providing organizations the opportunity to conduct projects for the duration of one-to-three years. Please be advised that first time applicants to Avenue NYC will *not* qualify for multi-year funding. For more information on multi-year funding grants, please review the "Contracting & Compliance" section of this document.

Eligibility

ORGANIZATION CRITERIA

Applicants must be:

- Nonprofit organizations that support CBDOs working in low- and moderate-income neighborhoods within the five boroughs of New York City;
- Incorporated as a nonprofit in New York State;
- Registered in the System for Award Management (SAM), www.sam.gov
- Compliant with annual State and Federal filing requirements, including New York State Charities Bureau filings.

PROJECT SCOPE CRITERIA

Proposed Organizational Development projects must:

- Target CBDOs that operate within defined geographic boundaries of a commercial corridor. Projects cannot target CBDOs that exclusively provide individual business assistance, such as one-on-one business plan development assistance;
- Support CBDOs that address the needs of small and medium-sized businesses operating in the geographic area;
- Enhance the capacity of CBDOs to address commercial needs of local residents, with an emphasis on low- to moderate-income residents.

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INCOME ELIGIBILITY CRITERIA

Avenue NYC programming and services must demonstrate an area benefit to low- and moderate-income persons in accordance with Community Development Block Grant (CDBG) national objectives. Avenue NYC grantees must target commercial districts serving residential areas designated by the United States Department of Housing and Urban Development (HUD) as low-to-moderate income neighborhoods. Designation prescribes that at least 51% of the residents in the census tracts surrounding the targeted commercial district (also known as the service area) must be low-to-moderate income persons living in households with incomes below 80% of the median household income (\$63,350 for a 4-person household in 2010).

To determine eligibility, SBS, in collaboration with the Office of Management and Budget (OMB), establishes neighborhood service areas using federal census tract information and the trade areas of neighborhood retail businesses served by grantee organizations. Census information is used to determine the total number of residents who reside within a census tract and their incomes. Through New York City PLUTO data provided by the Department of City Planning and the Department of Finance, tax lot and land use information is obtained to determine the total amount of building area within a census tract and the amount of which is residential in use. To learn more about federal CDBG eligibility and to view the city's CDBG-eligible census tracts, please visit the [Department of City Planning \(DCP\)](#).

If you have questions about your target area's CDBG eligibility, please email avenuenyc@sbs.nyc.gov.

In the case of Organizational Development Funding, grantees will work with SBS partner CBDOs engaged in commercial revitalization efforts along commercial corridors in low and moderate-income neighborhoods.

Program Funding & Term

FUNDING

Grantees will be awarded **up to \$100,000 per year for a period of one to three years for a maximum possible award of \$300,000**. Groups applying for multi-year grants must have previously completed a full fiscal year project within the Avenue NYC Grant Program prior to the time of application submission.

Multi-Year Funding

Organizations wishing to apply for multi-year grants will be required to submit information on proposed deliverables for the duration of the award as well as the development and progression of the projects over the three years (For example, how Year 2 will build off the activities, successes or challenges of Year 1.)

Proposals must also demonstrate the following:

- Anticipated costs associated with the various deliverables
- Outcomes for local businesses and residents
- Overall anticipated corridor impact (For example, why is a three-year grant necessary to achieve a greater impact?)

Applicants are expected to provide detailed deliverables for Year 1, as well as additional information on the anticipated goals for the subsequent years, Year 2 and Year 3. Please complete the corresponding application section titled "Multi-Year Project Plan Overview."

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TERM

The contract term will begin on July 1, 2018 (CFY 2019) and end on June 30, 2019. In the case of multi-year funding, the terms of the agreement will be re-evaluated at the end of each fiscal year before being approved for the following year. The second and third years of funding (CFY 2020, CFY 2021) are contingent on grantee performance, an assessment of the grantee's progress towards multi-year goals for the organization and district, and the ongoing availability of Avenue NYC funding.

Project Guidelines

ORGANIZATIONAL DEVELOPMENT CATEGORY OVERVIEW

PURPOSE

Grantees will be expected to develop and deliver trainings, tools, and/or one-on-one assistance that builds the internal capacity of SBS' partner CBDOs so that they are better positioned to run well-managed and sustainable organizations and lead impactful commercial revitalization initiatives in low- and moderate-income commercial corridors. Previous areas of assistance have included organizational management, strategic planning, marketing and communications, project management, fundraising, financial management, board governance, and other strategic needs.

APPROACH

The Neighborhood Development Division (NDD) expects that Organizational Development projects will be delivered in a variety of ways and target staff at different levels within a CBDO. Successful engagements will facilitate a **knowledge transfer** by identifying and encouraging best practices in the following areas of organizational development and commercial revitalization strategies:

- Fundraising
- Nonprofit Financial Management
- Communications & Marketing
- Strategic Planning
- Board Governance and Compliance
- Project Management
- Community Engagement
- Program Evaluation and Impact Measurement
- Commercial District Needs Assessment
- Merchant Organizing
- Business Attraction
- Business Retention
- Façade Improvement
- Placemaking
- District Marketing
- Program & Service Design
- Public Space Management

PROJECT EXPECTATIONS

Avenue NYC Organizational Development projects must have **realistic, well-planned, and measurable** deliverables. When completing the CFY 2019 Avenue NYC Organizational Development Application, keep the following questions in mind:

Realistic

- Do the stated deliverables form a cohesive project plan that is appropriate for CBDOs working on commercial corridor revitalization?
- Does the applicant have the capacity to execute these deliverables in a timely manner?
- Do the deliverables clearly dictate what the Avenue NYC funds will be used to accomplish?

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Well-Planned

- Has the applicant thought through and identified the activities it must complete to successfully execute each project deliverable?
- Do the deliverables and activities support a greater vision for CBDs working on commercial corridor revitalization?
- If applicable, how does the project plan for CFY19 build upon past accomplishments and push the envelope for the future?

Measurable

- How will the applicant measure its success in CFY19?
- What tangible outputs will the applicant track as evidence that the deliverables have been completed?
- Has the applicant identified the overall outcome or impact on CBDs working on commercial corridor revitalization that completing the project plan entails? How will the applicant measure these outcomes?

Requirements

CONTRACTING & COMPLIANCE

Agency Contracting & Compliance Requirements

Organizations applying for Avenue NYC funding must fulfill the requirements listed below to enter into a registered contract with the City of New York. Applicants must ensure their organization is current and compliant with contracting requirements as soon as possible, including but not limited to:

- Registration on the HHS Accelerator Financials system
- Registration on the NYC Payee Information Portal (PIP) system
- Registration with the New York State Charities Bureau
- Registration in PASSPort with the Mayor's Office of Contract Services
- Current general liability, workers compensation, and automobile insurance
- Audited Financial Statements

Program-Specific Requirements

Avenue NYC grantees must comply with program-specific evaluation and reporting requirements throughout the contract term. Evaluation and reporting requirements include participation in project scoping meetings with SBS staff before the beginning of the fiscal year, participation in regular check-in calls with SBS staff, completion of quarterly progress reports, periodic compliance evaluation, and hosting SBS staff for district site visits upon request.

PAYMENTS

Contract Registration

Avenue NYC grantees are reimbursed for contract expenses monthly once the contract has been registered with the New York City Comptroller's Office. Grantees are expected to begin their projects on July 1, 2018 and will submit requests for reimbursement of project-related expenses upon registration of their contract and monthly thereafter as incurred. The length of time required to register a contract varies and is **contingent upon the timeliness and completeness of contracting materials** submitted by organizations.

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HHS Accelerator

Avenue NYC grantees will use the HHS Accelerator Financials system to manage contract budgets, invoices, and payments. HHS Accelerator is an online system designed to improve financial processes to providers delivering direct services to clients and communities and will provide grantees a more efficient budget review and approval process, submission of program expense reimbursements, and tracking of expenditures to budget information. SBS will work closely with the HHS Accelerator team to provide Avenue NYC grantees with hands-on training and guidance throughout the contracting process.

Expenses

Avenue NYC funding can be used to cover the following program expense categories, as approved by SBS prior to contract registration:

- Personnel Services (PS) – Salary, fringe expense and benefits.
- Other Than Personnel Services (OTPS) – Indirect costs or ‘overhead’ associated with the Avenue NYC program. The proportion of these expenses charged to the program will be determined by a cost-allocation framework; examples include rental of office space, utilities, phone/internet, etc.
- Operating Expenses (OE) – Direct expenses associated with Avenue NYC programming and services. These can be charged in full to the program; examples include production of program marketing and communication/advertising expenses, program event expenses, program-specific equipment or space rental, and outside professional services (subcontractors).

Application Process

APPLICATION REVIEW & RANKING SYSTEM

Applications will be reviewed by a committee comprised of representatives from SBS. The committee will judge each application on a competitive basis. All organizations applying for the Avenue NYC program will be evaluated on three criteria and rated on a corresponding point scale:

Existing Organizational Capacity | 40 points

Applicants will be evaluated on their ability to meet contractual obligations, their experience delivering high-quality projects, and the sustainability of past activities. Evaluation of organizational capacity will be based on dedication of human resources to the project, the applicant’s experience in related organizational development and/or commercial revitalization activities, and the applicant’s experience in executing contracts with SBS.

Strength of the Avenue NYC Project Proposal | 50 points

Proposals will be rated on the overall strength of the project. Strong proposals are those that demonstrate in-depth planning and a comprehensive overall design. Evaluators will assess the extent to which proposals effectively and logically articulate the organization’s specific approach. Proposals should set clear targets and define objectives. NDD will favor proposals that are innovative and/or build significantly upon previous initiatives.

Viability of the Proposed Avenue NYC Budget | 10 points

Proposed budgets will be rated against the activities laid out in the project proposal and will be assessed for the alignment of resources to activities and the practicality of resource allocations. Evaluators will consider additional sources of revenue listed for the project as well as how the proposed project budget contributes proportionally to the

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organization's overall operating budget, considering distribution of expenses, reliability of other income, and diversification of revenue. Please refer to the Budget Page Instruction in the Appendices for additional information.

INFORMATION SESSION

Groups interested in applying for the CFY 19 Avenue NYC Organizational Development program are strongly encouraged to participate in a webinar information session on **Wednesday, May 9, 2018 from 1:00-2:00pm**. During the session, SBS staff will provide a comprehensive overview of the program and will walk prospective applicants through the application process.

Please RSVP for the information session via our [Eventbrite page](#).

APPLICATION SUBMISSION

Completed applications and required attachments must be submitted via email to avenuenyc@sbs.nyc.gov by **Thursday, May 24, 2018, at 11:59pm** to be considered for CFY 19 funding.

Organizations with questions on completing the application should direct inquiries to avenuenyc@sbs.nyc.gov.

Complete CFY19 Avenue NYC applications will include:

- Organizational Development Application, including the following sections:
 - Organization Information
 - Project Information
- Organizational Budget
- Organizational Board, Staff, and Volunteer List

Optional

- Letters of commitment from Project Partners (optional, please limit to 3)

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Appendices

I. APPLICATION BUDGET PAGE INSTRUCTIONS

These instructions provide details on the information your organization must include in the Avenue NYC Application Budget Page. Please read through the entire set of instructions carefully before filling out the budget portion of the application.

Organization Name

Enter the name of your organization at the top of the budget page.

Annual Operating Budgets

Use the columns on the left-hand side of the budget page to provide information on your organization's overall operating budget for three consecutive fiscal years. Use the drop-down menus to indicate your fiscal year start and end dates.

Enter the total amount of each source of revenue for your organization and the total amount of each category of expenses on the specified lines in your organization's Annual Operating Budgets. See below for budget category definitions.

Proposed CFY2019-CFY2021 Avenue NYC Project Budgets

Use the columns on the right-hand side of the budget page to provide information on the budgets for your proposed Avenue NYC project(s) for City Fiscal Year 2019 (***as well as City Fiscal Years 2020-2021 if you are applying to conduct a multi-year project***).

Select the project category that you are applying for within the corresponding City Fiscal Year column. You should include all sources of revenue that your organization will utilize in support of each of your proposed Avenue NYC projects, i.e.; your requested Avenue NYC funding as well as any other funds that you plan on allocating to the project.

Enter your project's categories of expenses to detail how you propose to spend the Avenue NYC funding for which you are applying. All expenses that you include in your proposed Avenue NYC Project Budget should relate directly to the work that your organization will be doing to carry out the proposed project. In light of the uncertainty associated with multi-year projections, you may submit more general expenses for CFY2020-2021.

Definitions of Budget Categories

- Unearned/Non-Government Income:

Foundation/Corporate Grants - Funding derived from private and/or corporate foundations.

Individual Contributions - Support from private individuals. Do not include corporation, foundation, or government contributions and grants.

Membership Dues – All income that your organization derives from fees paid by members of associations and organizations (e.g.; merchant associations, chamber of commerce, etc.).

Other Unearned Income - Include any other contributions and grants not specified above.

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- **Unearned/Government Income:**
 - SBS Avenue NYC – Funding from the New York City Department of Small Business Services Avenue NYC Program.
 - SBS Other – Include funds from any other SBS Programs allocated to your organization.
 - Other City - Include funds from any other division of New York City government (e.g.; Department of Housing Preservation and Development, Department of Youth and Community Development, Department of Education, Department for the Aging) allocated to your organization. Please specify the agency in Column G of the Budget Page.
 - State/Other State - Include funds from New York State programs (e.g.; New York State Division of Housing and Community Renewal, Empire State Development Corporation) allocated to your organization. Please specify the agency in Column G of the Budget Page.
 - Federal - Include funds from federal programs. Please specify the agency in Column G of the Budget Page.
- **Earned Income:**
 - Special Events - Income derived from special events that your organization sponsors or holds, including fundraisers.
 - Other Earned Income – All other sources of earned income (e.g.; interest on bank accounts, revenue from real estate or housing rentals, class/workshop fees, contracted services, and any other income not included in categories listed above. Do not include membership income (include this under membership dues). Please specify the additional sources of income in Column G of the Budget Page, and if necessary, in Cells E30 and E31 of the Budget Page.
- **Expenses:**
 - Personnel - This item should include those staff members who are on salary and for whom you make withholding deductions. Figures should include gross salaries and fringe benefits such as health insurance, Social Security, pension fund payments, and payments to retirees.
 - Outside Professional Services - Payments to firms or persons on a fee-for-service basis including consultant fees, honoraria, stipends for non-staff, public relations, fundraising, outside security, instructors, etc.
 - Space Rental/Utilities - Expenses for rental of office space; meeting/classroom and other spaces; and utilities such as electricity, water, gas, etc.
 - Office Equipment/Supplies - Expenses for equipment (e.g.; computers, furniture) and supplies with an estimated useful life of less than two years (consumables required for daily operations, such as paper, photocopying, pencils, pens, soap, etc.).
 - Advertising/Promotion/Marketing - All costs for advertising, marketing, publicity and/or promotion. Include costs of newspaper, radio, and television advertising; printing and mailing of brochures, flyers, and posters; and space rental when directly connected to promotion, publicity, or advertising. Do not include payment to individuals or firms that belong under "Personnel" or "Outside Professional Services." For fundraising expenses, see "Other Expenses."

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Other Expenses - All expenses not entered in other categories. Include fundraising expenses, storage, postage, telephone, internet service, interest charges, publication purchases, insurance fees, nonstructural renovations or improvements, etc.

- Surplus/(Deficit): When you complete the Budget Page electronically, the Excel spreadsheet will automatically calculate the sum of your budgets' total income and total expenses and populate the Surplus/ (Deficit) field.

II. APPLICATION TERM GLOSSARY

Data Universal Number System (DUNS) Number- a nine-digit unique numeric identifier assigned to a single entity by a proprietary system developed and regulated by Dun & Bradstreet.

To obtain DUNS number please visit:

<http://fedgov.dnb.com/webform/displayHomePage.do;jsessionid=81407B1F03F2BDB123DD47D19158B75F>

Deliverable- a tangible object, action or event produced by organization to deliver services/create change for beneficiaries of the not-for-profit organization

Example: a report, marketing collateral, or an event/meeting produced by the not-for-profit organization

Goal- a desired result that the not-for-profit organization plans and commits to achieve, or the organization's desired end-point in some sort of assumed development

Example: to increase foot traffic and business revenues on a commercial corridor

Indicator- an observable, measurable, and concrete characteristic that suggests an outcome has been achieved

Example: the number of attendees at events produced by the not-for-profit organization during series

Long-Term- defined as 3 or more years after project completion

Outcome- observable changes or benefits to a corridor and/or constituents after deliverables have been completed on the commercial corridor

Example: the degree to which the placemaking event series coordinated by the not-for-profit organization enhanced the business environment on the commercial corridor

Output- a measurable and direct result of deliverables and/or tasks

Example: the number of events produced by the not-for-profit organization during the year

Project Partner- an organization, business, or government office that will provide necessary participation and/or resources to the project

Short-Term- defined as 1 to 3 years after project completion

Task- an activity or action needed to accomplish a deliverable

Vision- expresses an organization's ultimate goal and reason for existence