



# CITY OF UTICA

Department of Urban & Economic Development  
1 Kennedy Plaza, Utica, New York 13502  
(315) 792-0181 fax: (315) 797-6607

**ROBERT M. PALMIERI**  
MAYOR

**BRIAN THOMAS**  
COMMISSIONER

## **2015-2016 Community Development Block Grant (CDBG) Application**

The City of Utica, New York is now seeking proposals for funding through the City's annual Community Development Block Grant (CDBG) entitlement program for the 2015 – 2016 program year. Funding is available for eligible activities, including those which benefit low- and moderate-income residents (e.g., housing activities, job creation/retention) and/or eliminate slums and blight. CDBG funding is used to support a wide range of activities that primarily benefit low- and moderate-income persons and families.

**To be considered for funding, one (1) original plus three (3) copies of the completed application must be submitted to the City of Utica Department of Urban & Economic Development no later than 4:00 PM on Friday, January 9, 2015.** E-mailed copies of the application will not be accepted. Please note that there is a limit on the size of the application submission.

To solicit input from the public and potential subrecipients into the priorities for this funding, there will be three public meetings as follows:

- Tuesday, November at 6:30 PM at Thomas Lindsey Public Safety Building, 230 James Street
- Monday, December at 6:30 PM at BOCES Access Center, 508 Second Street
- Thursday December at 6:30 PM at Utica City Hall, Common Council Chambers, 1 Kennedy Plaza

For additional information, contact:

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Utica City Hall  
(315) 792-0181  
E-mail: [bthomas@cityofutica.com](mailto:bthomas@cityofutica.com)

# 2015-2016 CDBG FUNDING APPLICATION

Name of Applicant Organization: \_\_\_\_\_  
 Application Organization Address: \_\_\_\_\_  
 City, State and ZIP: \_\_\_\_\_  
 Contact Person: \_\_\_\_\_  
 Phone/Fax/E-mail: \_\_\_\_\_  
 Activity to be Funded: \_\_\_\_\_  
 Amount Requested: \_\_\_\_\_

Type of Activity:  Construction  Program  
(check all that apply)  Program Operating Funds  Program Administrative Funds

Applicant's Funding History:  New/Never funded  On-going/Previously funded  
 \_\_\_\_\_ Number of Years Funded

**National Objective – FOR CDBG APPLICATIONS ONLY**

To be eligible to receive CDBG funding, all funded activities must meet at least one of the following national objectives (§ 570.200(a)(2)). **CHECK EITHER A OR B, NOT BOTH.**

- A. Benefit to persons of low-/moderate-income** (§ 570.208(a)) *If checked, check only one of following:*
- Area basis (the activity will benefit residents within a distinct area, such as a particular street or a neighborhood, in which at least 51% are considered to be low/mod using HUD Census data)
  - Limited clientele (the activity will benefit people which are at least 51% low/mod, generally not attributed to a specific geographic area)
  - Housing activities (the activity will result in the provision of new or improved housing for residents who are low/mod)
  - Job creation/retention (the activity will result in the creation of new job opportunities made available to individuals who are low/mod)
- B. Elimination of slums and blight** (§ 570.200(b)) *If checked, check only one of following:*
- Area basis (the activity will eliminate blighting conditions across a larger geographic area)
  - Spot basis (the activity will eliminate blighting conditions in a single location)

Total number of unduplicated persons to be served: \_\_\_\_\_ Line 1

Total number of low- or moderate-income unduplicated persons to be served: \_\_\_\_\_ Line 2

Estimated percentage of low- and moderate-income persons to be served: \_\_\_\_\_  
Divide Line 2 by Line 1 and multiply by 100

**HUD FY 2014 Low (80%) Income Limits for the Utica-Rome MSA**

FY 2014 LIMITS	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person
Low-Income (80% of MFI)	33,350	38,100	42,850	47,600	51,450	55,250	59,050

Are at least 51% of the clients that you intend to serve with this activity considered to be low- to moderate-income?  Yes  No

By what standard will income eligibility of beneficiaries be measured?

HUD Income Chart  US Census Data  Other (please specify) \_\_\_\_\_

### Agency/Organization Balance Sheet

#### ASSETS

Current Assets	
Cash – Checking Accounts	\$ _____
Cash – Savings Accounts	\$ _____
Accounts Receivable	\$ _____
Securities	\$ _____
Other	\$ _____
Fixed Assets	
Land, Buildings & Equipment	\$ _____
Endowments	\$ _____
Trusts	\$ _____
Other	\$ _____
<b>Total Assets</b>	<b>\$ _____</b>

#### LIABILITIES

Current Liabilities	
Accounts Payable	\$ _____
Notes Payable	\$ _____
Other	\$ _____
Long-Term Liabilities	
Mortgage Payable	\$ _____
Other	\$ _____
<b>Total Liabilities</b>	<b>\$ _____</b>

<b>FUND BALANCE (Total Assets – Total Liabilities)</b>	<b>\$ _____</b>
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Not-for-profit organizations must also attach 1) a copy of the certificate of incorporation, 2) section of the by-laws showing the mission of the organization, 3) an organizational chart and 4) an IRS tax status letter. Each applicant must also submit a copy of the organization’s most recent audit. In the absence of an audit, the application must include a valid, legal basis for not including the audit with the application.

#### Activity Budget

On the attached pages, provide details on the anticipated budget for the proposed activity. Note that one budget applies to proposed construction activities, while the second budget page applies to proposed program activities. Also note that a status should be indicated in the far right column for all leveraged funds; the status should be Anticipated, Committed, In-Hand, Donated or Requested.

Attached Narrative

On separate pages to be attached to the application, please answer the following narrative questions. Please note that all responses in total should be limited to no more than seven (7) pages. Each page must have a minimum of 1” margins on all four sides of the paper. Font must be Times New Roman with minimum font size of 12. Responses may be single-spaced and only on one side of the paper. While graphics may be inserted into the response, margin and length of response restrictions will still adhere. **Applications that do not adhere to these requirements will not be considered for funding.**

- 1. Activity Description** – Provide a detailed description of the proposed activity to be funded. Include a description of the location of the proposed activity and the clientele to be served by age, sex, race or other distinguishing demographic characteristic.
- 2. Activity Need** – Describe the community need being addressed by the activity, including a description of the problem/need to be addressed by the activity and the manner by which the problem/need was identified. The description should address the extent to which the community need being addressed reflects a community need identified within the City of Utica’s 2015-2020 Consolidated Plan.
- 3. Activity Goals** – Describe in detail the anticipated goals of the proposed activity. The description should address the extent to which the goals of the activity reflect a community development goal identified within the City of Utica’s 2015-2020 Consolidated Plan.
- 4. Activity Justification** – If the proposed activity has been funded in previous years, an explanation of the reasons supporting continued funding is required.
- 5. Self-Sufficiency** – If the activity has been funded in previous years, **describe the manner by which your organization plans to make this activity self-sufficient**; include identification of alternate funding sources or possibility of partnering with other community organizations. **If there is no plan to make the activity self-sufficient, explain the reason.**
- 6. Organization Description** – Provide a listing of agency personnel and their titles that will be involved in the proposed activity. Also list all Board members for the organization (voting and ex-officio). Identify any and all potential conflicts of interest. Finally, describe your organization’s current ability and qualifications to carry out the proposed activity.
- 7. Contingency Plan** – In the event that CDBG funds are not granted for this proposed activity, in whole or in part, or other funds anticipated to fund this activity are not received, describe the actions to be taken by your organization.

**CERTIFICATION: I hereby certify that the information contained in this application is true to the best of my knowledge. I do hereby agree to comply with all requirements of HUD Regulations 24 CFR 570 and other applicable Federal Regulations.**

\_\_\_\_\_  
AUTHORIZED SIGNATURE

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
TYPED OR PRINTED NAME

\_\_\_\_\_  
DATE

# Budget Instructions

1. Select the appropriate budget worksheet; there is a sheet for completing a Construction activity and a separate sheet for completing a budget if the proposed activity is a program. If completing directly from the Excel file, there is a separate tab within the file for each budget.
2. If completing by hand or typewriter, insert budget amounts for each applicable line item, including total amount, amount for which CDBG funds are sought and amount to be funded with other funds. If completing directly from the Excel file, insert a total budget amount for each line item along with the amount for which CDBG funds are sought; the balance to be funded with other funds for each line item will then be automatically calculated.
3. For each line item, fill in the source of the leveraged funds if applicable. Each line item allows for up to three (3) different sources of leveraged funds. For each source of leveraged funds, the applicant must indicate the status of these funds. If completing by hand or typewriter, select one of the following status choices: Anticipated, Committed, In-Hand, Donated or Requested. If completing directly from the Excel file, the status of leveraged funds can be selected by clicking in the cell immediately to the right of the source of the funds. Upon clicking in the cell, a down arrow will appear; click on the arrow and a drop-down list of five (5) choices will appear; click on the arrow and a drop-down list of five (5) choices will appear, including Anticipated, Committed, In-Hand, Donated and Requested. For the purposes of the application, Anticipated shall mean that the applicant agency has some assurance that the funding will be received shortly; Committed shall mean that the applicant agency has received a commitment from the respective funding agency for the utilization of those funds for the intended purpose; In-Hand means that the applicant agency has access to the funding at time of submission of the application; Donated means that the applicant agency will be utilizing donated materials, services, time or labor; Requested means that the applicant agency has submitted a request (i.e., grant application) for the funding, but has not received any indication of the likelihood of receiving the funds. Select the appropriate status from the drop-down list that appears.
4. If completing by hand or typewriter, each budget column should be totaled for either the Construction budget or the Program Budget. If completing the Construction budget and the budget includes a contingency, that contingency should be expressed as a percentage of the budget subtotal and then added to the subtotal to arrive at a total. If completing directly from the the Excel file, the subtotal row will total automatically. To include a contingency amount on the Construction budget, insert the amount as a percentage in the far left column where indicated. The totals in each column will then be completed automatically.

# PROGRAM BUDGET

	TOTAL ACTIVITY COST	CDBG AMOUNT	LEVERAGED FUNDS AMOUNT	LEVERAGED FUNDS SOURCE	LEVERAGED FUNDS STATUS
Personnel - Salary			\$0	1	
				2	
				3	
Personnel - Fringe			\$0	1	
				2	
				3	
Advertising			\$0	1	
				2	
				3	
Supplies			\$0	1	
				2	
				3	
Rent/Utilities			\$0	1	
				2	
				3	
Incidentals (copies, phone,etc.)			\$0	1	
				2	
				3	
Other (specify)			\$0	1	
				2	
				3	
<b>TOTAL PROGRAM COST</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>		

# CONSTRUCTION BUDGET

	TOTAL ACTIVITY COST	CDBG AMOUNT	LEVERAGED FUNDS AMOUNT	LEVERAGED FUNDS SOURCE	LEVERAGED FUNDS STATUS
Administrative Expense			\$0	1	
				2	
				3	
Start-up Expense			\$0	1	
				2	
				3	
Architectural Fees			\$0	1	
				2	
				3	
Engineering Fees			\$0	1	
				2	
				3	
Inspection Fees			\$0	1	
				2	
				3	
Land Development			\$0	1	
				2	
				3	
Demolition/Disposal			\$0	1	
				2	
				3	
Construction/Rehabilitation			\$0	1	
				2	
				3	
Other (specify)					
SUBTOTAL	\$0	\$0	\$0		
←Contingency (expressed as %)	\$0	\$0	\$0		
TOTAL CONSTRUCTION COST	\$0	\$0	\$0		