



# City of Utica, New York

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## REQUEST FOR PROPOSALS (RFP) COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM PROGRAM YEAR 2016 – 2017

In order to be considered for funding, one (1) original, two (2) copies & one (1) electronic copy of your proposal must be submitted to the following address:

City of Utica, New York  
Department of Urban & Economic Development  
Attn: Mr. Brian Thomas, Commissioner  
Utica City Hall  
1 Kennedy Plaza  
Utica, New York 13502  
bthomas@cityofutica.com

### **FUNDING SCHEDULE**

RFP Announcement:	Wednesday, March 2
Public Meetings:	Tuesday, March 15 @ 6:30 PM UNHS Empowerment Center, 230 James Street
	Thursday, March 17 @ 5:30 PM Utica City Hall – Common Council chambers
Proposal Submission Deadline:	Monday, March 28 by 12:00 PM Noon

### **Website Address**

<https://www.cityofutica.com/departments/urban-and-economic-development/community-development-programs/index>

NOTICE OF FUNDING AVAILABILITY  
FOR THE COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG),  
FOR  
PROGRAM YEAR (PY) 2016 - 2017

**BACKGROUND**

This Request for Proposal (RFP) announces the availability of federal funding for the Program Year (PY) April 1, 2016 through March 31, 2017 for the Community Development Block Grant (CDBG) Program.

The CDBG Program is funded and regulated at the federal level by the U.S. Department of Housing and Urban Development (HUD) and administered locally by the City of Utica, through the City's Department of Urban & Economic Development. The CDBG Program is authorized under Title I of the Housing and Community Development Act of 1974. The regulations implementing the CDBG Program are located in 24 Code of Federal Regulations (CFR), Part 570.

The goals of this program are in accordance with the City's Five-Year Consolidated Plan which seeks the development of a viable urban community through implementation of the following National Objectives:

- Assistance to persons of low- to moderate-income
  - Safe and decent affordable housing
  - A suitable living environment
  - Expanded economic opportunity
- Aid in the elimination of slums and blight

The primary objective of this RFP is to fund projects and activities that are consistent with the City's locally developed CDBG Consolidated Plan. Additionally, this Request has been developed in order to solicit projects in furtherance of the second year of the City's Two-Year Annual Action Plan, developed as a result of an intensive Community Needs Assessment process in 2014 and 2015.

The City's 2015 – 2020 Consolidated Plan is available at:

<https://www.cityofutica.com/departments/urban-and-economic-development/community-development-programs/cdbg-information/index>

The Community Needs Assessment Two-Year Action Plan is available at:

<https://www.cityofutica.com/departments/urban-and-economic-development/index>

**ELIGIBILITY INFORMATION**

All proposers must meet the local and HUD defined threshold requirements as detailed in Proposer's Eligibility below. If a proposal does not demonstrate that the proposed project meets these threshold requirements, the proposer will be advised that it will not be considered for funding.

Incorporated nonprofit agencies that primarily serve low and moderate-income Utica residents are eligible to apply. Proposals must meet a CDBG National Objective and fall within one of the City's priorities to be considered for funding.

**CDBG PROGRAM FUNDING:**

The total amount of CDBG funds awarded to the City for Program Year 2016 - 2017 is \$2,177,142. CDBG program funds are not anticipated to be available until August, 2016.

CDBG regulations specify the types of eligible uses of CDBG funds and establish funding limits for certain types of activities:

- No more than fifteen (15%) percent of the total grant, including estimated program income, (estimated \$344,571) can be spent on Public/Human Services.
- Twenty (20%) percent of grant may be used for the City's administrative costs (estimated \$459,428).
- At least 70% of the available funds must be used for activities benefiting low- to moderate-income persons.

**2016 – 2017 CDBG Program Priorities**

The City's Community Needs Assessment Two-Year Action Plan identifies the following activities as priorities for 2016-2017:

**Goal 1: Facilitate Employment**

- Subgoal: Daycare Provider Assistance
- Subgoal: Daycare Entrepreneur Certification

The City will work with existing agencies to identify, enable, train and certify/license new daycare providers to provide quality care (including nutritious meals) to children and families. The Plan commits to a goal of certifying at least one (1) additional provider and to updating the childcare provider inventory.

**Goal 3: Improve Educational Opportunities**

- Subgoal: Adult Learner Outreach Programs
- Subgoal: Target Area College Advancement Programming
- Subgoal: Target Area School to NANO Program

Relative to the first subgoal, the City will work with organizations to support the United Way Literacy Coalition's five-goal plan with a focus on adult learners to increase high school graduation or high school equivalency rates by fifteen (15%) percent by:

- Increasing learner retention by creating a support network of adult learners by using a combination of Bridges out of Poverty initiatives and mentors;
- Marketing successful adult learners' stories to show that high school equivalency is possible and manageable;
- Working with employers to encourage learner's completion

Relative to the second subgoal, the City commits to providing support of the Community Foundation's 25/25 goal by providing support for college advancement programs, which may include:

- Assisting high school seniors to become involved in programs dedicated to making higher education accessible to low-income youth who have the desire and the will to continue their education, but who feel college is out of reach due to economic, academic and other barriers
- Assisting college students to become involved in programs linking college students to local employers and organizations interested in providing internships, apprenticeships and mentorships – all aimed at keeping the students in the area after graduation

**Goal 4: Enhance Public Safety**

Subgoal: Cultural Development Programs –  
New Arrival Center

The City commits to supporting the Oneida County Vision 2020 initiative to establish a resource center to welcome and acclimate/consolidate services for refugees, immigrants and visitors in a one-stop location.

**Goal 5: Improve Health and Wellness**

Subgoal: Access to Healthy Foods – Market  
Garden Truck  
Subgoal: Access to Healthy Foods – Market  
Shuttles

The City commits to replicating at least one (1) mobile market truck equipped with an electronic benefits transfer (EBT) machine to serve each food desert area within the target area at least one (1) day per week and to provide shuttles to the public markets from residential areas within the food desert areas.

**QUESTIONS**

Any questions regarding this notice may be directed to Patti DeCarr at 315-792-0181 or via e-mail at [pdecarr@cityofutica.com](mailto:pdecarr@cityofutica.com).

## RFP REQUIREMENTS

1. The scope of Program Services must be City-based.
2. Proposed program and activities must be of direct benefit to low- to moderate-income Utica residents.
3. Responders must be a legally constituted non-profit organization or government entity:
  - Must provide 501(c)(3) tax-exempt IRS status
  - Must provide current IRS Determination Letter
  - Must provide Articles of Incorporation
  - Must provide current Dun and Bradstreet Number
4. Responders must provide current documentation that it possesses adequate fiscal, management systems and legal certifications to implement the proposed project:
  - Must provide current 990's
  - Must provide copy of Annual Report with Financial Data.
  - Must provide copy of last Independent Audit, results & copy of management letter.
  - Must provide copy of Affirmative Action Plan.
5. Responders must demonstrate a minimum of twelve (12) months previous experience as of the application deadline of Friday, March 25, 2016.
6. A qualified Fiscal Officer/Bookkeeper (preferably certified by AICPA) must be listed in the proposed budget and a resume included as part of the application.
7. Agencies that have not submitted performance reports and those with past compliance and performance problems **will not** be considered for funding.
8. Program activities must be available to serve all religious, race and ethnic groups, in accordance with Title VI of the Civil Rights Act of 1964, and Section 109 of Title I, of the Housing and Community Development Act of 1974.
9. Program activities must comply with Section 504 of the Rehabilitation Act of 1973, which states: "No qualified individual with handicaps can be excluded from participation in or denied the benefits of any activity receiving Federal financial assistance."
10. Program Activities should be designed to comply with Improving Access to Services for Persons with Limited English Proficiency (LEP) - 24 C.F.R. §576.407(b). Executive Order 13166 seeks to improve access to federally assisted programs and activities for individuals who, as a result of national origin, are limited in their English proficiency. Organizations shall take reasonable steps to ensure meaningful access to their programs and activities to LEP individuals, regardless of language spoken. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Sub-recipients must follow the requirements outlined on 24 C.F.R. §576.407(b). HUD published Final Guidance to Federal Financial Assistance Requirements Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons in the Federal Register on January 22, 2007 (72 F.R. 2732).

11. Program activities must meet federal eligibility requirements of HUD regulations. For more information refer to [www.hud.gov](http://www.hud.gov)
12. Proposed program must include a performance measurement system to track productivity, program impact and link goals with outcomes (the extent to which the activities produce the desired outcomes in the community or in the lives of persons assisted).

### **RFP EVALUATION - SCORING CRITERIA**

Applicants will be evaluated in seven (7) major categories to determine eligibility and capacity for funding consideration. These include:

CATEGORY	TOTAL POINT VALUE
1. Problem and Need Statement	10
2. Does the Proposal meet Priority Needs as identified in the City's 2015 – 2020 Consolidated Plan?	15
3. Does Program scope and design clearly link goals with outcomes?	10
4. Does the scope of proposed activities reflect a level of efficiency (quantity, quality, and pace)	15
5. Can the results of the program and proposal be clearly documented?	10
6. Does the proposed Program meet a 2016 – 2017 priority need as identified and described in the City's Two-Year Action Plan (pages 3 and 4 of this Request For Proposals)	25
7. Bonus Points – 25% Leverage & Self-Sufficiency Plan * What other funds are being leveraged and how will the program be self-sufficient in the future?	15
<b>TOTAL POINTS [includes bonus points]</b>	<b>100</b>

\*Self-Sufficiency Bonus Points will be given for a minimum 25% cash leverage and clearly designed plan for reducing reliance on future CDBG funding.

## PROPOSAL CHECKLIST

Name of Organization: \_\_\_\_\_

Project Name: \_\_\_\_\_

To be considered for funding, each proposal must include the following documents. Please place an "X" to indicate that the item is included in your submission. If an item is not applicable, indicate "N/A" on the corresponding line. Be sure to include this checklist as the cover page of your proposal. If you need assistance, contact Patti DeCarr at (315) 792-01081.

- 1 \_\_\_\_\_ This Proposal Checklist
- 2 \_\_\_\_\_ RFP Project Form (including Organization Balance Sheet)
- 3 \_\_\_\_\_ Organization's Tax-exempt Documentation
  - \_\_\_\_\_ Copy of Certification of Incorporation
  - \_\_\_\_\_ Copy of By-laws
  - \_\_\_\_\_ Copy of organization's organizational chart
  - \_\_\_\_\_ Copy of IRS tax status letter
  - \_\_\_\_\_ Dun and Bradstreet (DUNS) number
  - \_\_\_\_\_ Copy of organization's latest fiscal audit or 990
- 4 \_\_\_\_\_ Project Narrative (7 single-sided pages) pages
- 5 \_\_\_\_\_ Project Budget
- 6 \_\_\_\_\_ Other (if applicable)
  - \_\_\_\_\_ Resume or Bio of fiscal officer/bookkeeper
  - \_\_\_\_\_ Affirmative Action Plan
  - \_\_\_\_\_ Section 3 Plan, if applicable
  - \_\_\_\_\_ Limited English Proficiency Plan



HUD FY 2015 Low (80%) Income Limits for the Utica-Rome MSA

<b>FY 2015 LIMITS</b>	<b>1 Person</b>	<b>2 Person</b>	<b>3 Person</b>	<b>4 Person</b>	<b>5 Person</b>	<b>6 Person</b>	<b>7 Person</b>
<b>Low-Income (80% of MFI)</b>	35,300	40,350	45,400	50,400	54,450	58,500	62,500

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 *(specify)* \_\_\_\_\_

**All submission must include a current Agency/Organization Balance Sheet**

**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 \$ \_\_\_\_\_

**Total Assets** \$ \_\_\_\_\_

**LIABILITIES**

**Current Liabilities**

Accounts Payable \$ \_\_\_\_\_  
 Notes Payable \$ \_\_\_\_\_  
 Other \$ \_\_\_\_\_

**Long-Term Liabilities**

Mortgage Payable \$ \_\_\_\_\_  
 Other \$ \_\_\_\_\_

**Total Liabilities** \$ \_\_\_\_\_

**FUND BALANCE** (Total Assets – Total Liabilities) \$ \_\_\_\_\_

Not-for-profit organizations must also attach all appropriate items listed on the RFP Checklist.

## Attached Narrative

A separate narrative which addresses the following must be included in your proposal. Narratives may not exceed seven (7) one-sided pages. Each page must have a minimum of 1" margins.using Times New Roman with minimum font size of 12.

**Proposals 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 which clearly specifies the location of the proposed activity and the clientele to be served by age, sex, race or other distinguishing demographic characteristic.

**2. Activity Problem & Need Statement** – 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 and/or the Community Needs Assessment Two-Year Action 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 and/or the Community Needs Assessment Two-Year Action Plan.

**4. Activity Objectives, Outcomes and Outputs** – HUD has prescribed specific objectives and outcomes to be used for all CDBG-funded activities in order to standardize achievements at the local, state and national level. Please evaluate and describe your proposed activity according to the following definitions. Identify which objectives your activity will address, then identify the proposed outcome that your activity will achieve; please choose the best single objective and outcome. Bear in mind that, if funded, your information will be utilized in the preparation of the 2016 – 2017 Annual Plan and your accomplishments are required to be included in the quarterly and year-end progress reports and the City's Consolidated Annual Performance Evaluation Report (CAPER).

### **Objectives**

Suitable Living Environment - Includes activities that benefit communities, families, or individuals by addressing issues in their living environment such as public services, emergency essential services, capital improvements, neighborhood revitalization, etc.

Decent Affordable Housing - Includes the wide range of housing programs possible under HOME, CDBG or ESG where the purpose of the program is to meet individual family or community needs and not programs where housing is an element of a larger effort (such as would be captured above in Suitable Living Environment).

Creating Economic Opportunities - Includes activities related to economic development, commercial revitalization, or job creation.

**Outcomes**

Availability/Accessibility - Activities that make services, infrastructure, housing or shelter availability or accessible to low-income people, including persons with disabilities. Accessibility includes making the affordable basics of daily living available and accessible to low-income people.

Affordability - Activities that provide affordability in a variety of ways in the lives of low-income people; includes the creation or maintenance of affordable housing, basic infrastructure, or services such as transportation or day care.

Sustainability - Promoting Livable or Viable Communities. Projects where the activity or activities are aimed at improving communities or neighborhoods, helping to make them livable or viable by providing benefit to low-income people or by removing or eliminating slums or blighted areas, through multiple activities or services that sustain communities or neighborhoods

**5. Activity Justification** – If the proposed activity has been funded in previous years, include an explanation of the reasons supporting why continued funding is required.

**6. Self-Sufficiency** – 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.**

**7. 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 potential conflicts of interest. Finally, describe your organization’s current ability and qualifications to carry out the proposed activity.

**8. 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.

**9. Activity Budget** - Using the attached forms, provide details on the anticipated budget for the proposed activity. Note that one of the budget forms applies to proposed “construction” activities, while the second budget page applies to proposed “program” activities.

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

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

\_\_\_\_\_  
TITLE

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

\_\_\_\_\_  
DATE

## **Budget Forms and Instructions**

1. 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.
2. 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 proposal must indicate the status of these funds, selecting from the following possible choices: Anticipated, Committed, In-Hand, Donated or Requested. For the purposes of the application, Anticipated shall mean that the your organization has some reasonable assurance that the funding will be received shortly; Committed shall mean that your organization has received a firm commitment from the source of said funds for the utilization of those funds for the intended purpose; In-Hand shall mean that your organization has actually received said funds and has ready access to those funds at time of submission of this proposal ; Donated shall mean that the your organization will be utilizing donated materials, services, time or labor; Requested shall mean that the your organization has submitted a request (i.e., grant application) for said funding, but has not received any indication of the likelihood of receiving said funds.
3. Construction budgets should include a line item budget for contingency; the contingency should be expressed as a percentage of the project cost that is then added to the project cost to arrive at a total project cost.

**CONSTRUCTION BUDGET**

	TOTAL ACTIVITY COST	CDBG AMOUNT	LEVERAGED FUNDS AMOUNT	LEVERAGED FUNDS SOURCE			LEVERAGED FUNDS CURRENT STATUS
Administrative Expense				1			
				2			
				3			
Start-up Expense				1			
				2			
				3			
Architectural Fees				1			
				2			
				3			
Engineering Fees				1			
				2			
				3			
Inspection Fees				1			
				2			
				3			
Land Development				1			
				2			
				3			
Demolition/Disposal				1			
				2			
				3			
Construction/Rehabilitation				1			
				2			
				3			
<b>SUBTOTAL</b>				Choose from: Anticipated, Committed, In-Hand, Donated or Requested			
<b>CONTINGENCY ( %)</b>							
<b>TOTAL CONSTRUCTION COST</b>							

**PROGRAM BUDGET**

	TOTAL ACTIVITY COST	CDBG AMOUNT	LEVERAGED FUNDS AMOUNT	LEVERAGED FUNDS SOURCE			LEVERAGED FUNDS CURRENT STATUS
Personnel – Salary				1			
				2			
				3			
Personnel – Fringe				1			
				2			
				3			
Advertising				1			
				2			
				3			
Supplies				1			
				2			
				3			
Rent/Utilities				1			
				2			
				3			
Incidentals (copies, phone, etc.)				1			
				2			
				3			
Other (specify)				1			
				2			
				3			
Other (specify)				1			
				2			
				3			
<b>TOTAL PROGRAM COST</b>							Choose from: Anticipated, Committed, In-Hand, Donated or Requested