



City of Utica, New York

APPLICATION EMERGENCY SOLUTIONS GRANT PROGRAM PROGRAM YEAR 2016 – 2017

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

City of Utica, New York
Department of Urban & Economic Development
Attn: Mr. Christopher Lawrence, Planner
Utica City Hall
1 Kennedy Plaza
Utica, New York 13502

FUNDING SCHEDULE

Application Period Opened:	Wednesday, March 2 nd
Public Meetings:	Thursday, March 17 th @ 5:30 PM Utica City Hall, Common Council Chambers Thursday, March 17 th @ 1:15 RCIL, 1607 Genesee St., Utica, NY 13501
Proposal Submission Deadline:	Friday, March 25 by 4:00 PM

Website Address

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

APPLICATION CHECKLIST

Name of Applicant Organization: _____

Application Project Name: _____

To be considered for funding, applications must be completed with the following documents attached at the time of submission. Please complete an Application Form for each proposed program/project. If an item is not applicable, indicate "N/A" in the box. If you need assistance, contact Patti DeCarr at (315) 792-01081.

- 1 _____ Application Checklist
- 2 _____ Application
- 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 Budget
- 5 _____ Project Narrative (limited to maximum of 7 single-sided pages with minimum 1" border on all sides and Arial 12-point font)

**2016-2017
CDBG FUNDING APPLICATION**

Name of Applicant: _____

Application Street 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 # of unduplicated persons to be served: _____ Line 1

Total # of low/moderate-income unduplicated persons to be served: _____ Line 2

Estimated % of low- and moderate-income persons to be served: _____
Divide Line 2 by Line 1 and multiply by 100

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

FY 2015 LIMITS	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person
Low-Income <small>(80% of MFI)</small>	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)* _____

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	\$	

	\$	
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Total Assets

LIABILITIES

Current Liabilities

Accounts Payable	\$	
Notes Payable	\$	
Other	\$	

Long-Term Liabilities

Mortgage Payable	\$	
Other	\$	

	\$	
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Total Liabilities

FUND BALANCE	(Total Assets – Total Liabilities)	\$	
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Not-for-profit organizations must also attach 1) a copy of the certificate of incorporation, 2) a copy of the by-laws, 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.

APPLICATION EVALUATION - SCORING CRITERIA

ESG Project Ranking Criteria 2016-2017 Program Year		
Agency Name: _____		
Activity _____ Amount Requested _____		
Completed for all applicants		
(To be completed by the reviewers of the ESG applications.)		
Rating Scale 1 = Poor 2 = Fair 3 = Good 4 = Very Good 5 =Excellent		
Finance & Supporting Documents (15 Points)		Score
1	Displayed secure status of assets and lack of liabilities.	
2	Attached certificate of incorporation, mission in by-laws, organizational chart and IRS letter.	
3	Attached anticipated budget for the proposed activity.	
TOTAL (15 points max.)		
Activity Proposal (25 Points)		Score
1	Provided a detailed description of the proposed activity.	
2	Articulated the need to be addressed by the activity.	
3	Effectively addressed the activity's contribution to community need identified in city's plan.	
4	Detailed the anticipated goals of the activity.	
5	Substantiated the reasons for supporting continued funding.	
TOTAL (25 points max.)		
Organizational Information (35 Points)		Score
1	Described a plan to ensure sustainability.	
2	Cited relevant personnel.	
3	Provided a list of board members.	
4	Identified possible conflicts of interest.	
5	Communicated ability and qualifications to implement activity.	
6	Described actions to be taken if funding falls through.	
TOTAL (35 points max.)		
Community Partnerships & Program Integration (25 Points)		Score
1	Agency was able to indicate they are an active member of the MVHHAC/CoC.	
2	Indicated length and frequency of involvement in CoC.	
3	Explained the relevance of the proposal to ESG objectives and CoC priorities.	
4	Indicated that organization is a participant in the OCHMIS or would be willing to participate.	
5	Articulate the relevance of the proposal to existing HUD CoC programs.	
TOTAL (25 points max.)		
PROGRAM SCORE TOTAL (100 points max.)		

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 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 in reporting your accomplishments through 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 available 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, an explanation of the reasons supporting continued funding is required.

6. 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.**

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 and all 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.

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

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.

Budget 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 applicant 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 applicant agency has some reasonable assurance that the funding will be received shortly; Committed shall mean that the applicant agency 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 applicant agency has actually received said funds and has ready access to those funds at time of submission of the application; Donated shall mean that the applicant agency will be utilizing donated materials, services, time or labor; Requested shall mean that the applicant agency 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.

PROGRAM BUDGET

	TOTAL ACTIVITY COST	ESG AMOUNT	LEVERAGED FUNDS AMOUNT	LEVERAGED FUNDS SOURCE		LEVERAGED FUNDS 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		
TOTAL PROGRAM COST				Choose from: Anticipated, Committed, In-Hand, Donated or Requested		