



City of Utica, New York

NOTICE OF FUNDING AVAILABILITY (NOFA) COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM PROGRAM YEAR 2021 – 2022

In order to be considered for funding, one (1) original, one (1) additional hard copy and one (1) electronic copy in **Microsoft Word** format 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

NOFA Release: Wednesday, February 3, 2021

Due to the COVID-19 Health Emergency, public meetings will be conducted virtually using Webex™. Notices will be announced in the Observer-Dispatch, and the link will be posted at www.cityofutica.com.

Public Meetings: Wednesday, February 17, 2021, at 2:00 PM

Thursday, February 18, 2021, at 6:00 PM

PROPOSAL SUBMISSION DEADLINE: FRIDAY, FEBRUARY 26 BY 12:00 PM

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), EMERGENCY
SOLUTIONS GRANT (ESG) AND HOME INVESTMENT PARTNERSHIPS (HOME)
FOR PROGRAM YEAR (PY) 2021 - 2022

BACKGROUND

This Request for Proposal (RFP) announces the availability of federal funding for the Program Year (PY) April 1, 2021, through March 31, 2022, for the Community Development Block Grant (CDBG), Emergency Solutions Grant (ESG) and HOME Investment Partnerships (HOME) Programs.

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 Emergency Solutions Grant Program is authorized under the Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (HEARTH Act) which amended the McKinney-Vento Homeless Assistance Act in order to engage the homeless living on the street, improve the number and quality of emergency shelters, provide operating assistance to those shelters and essential services to shelter residents and to prevent increases in the homeless population.

The HOME Investment Partnership Program is authorized under Title II of the Cranston-Gonzalez National Affordable Housing Act to expand the supply of decent, safe, sanitary and affordable housing for very-low and low-income citizens.

The goals of these programs are in accordance with the City's Five-Year Consolidated Plan, which is being developed concurrently with the 2021 – 2022 Annual Action 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 information and application that follows is specific to agencies and organizations that are interested in applying for Community Development Block Grant (CDBG) funds. For more information on applying for funding through the Emergency Solutions Grant (ESG) Program or the HOME Investment Partnerships (HOME) Program, please contact Michael Peek, Housing Development Specialist via e-mail to mpeek@cityofutica.com or via phone to 315-792-0181.

ELIGIBILITY INFORMATION

Incorporated nonprofit agencies that primarily serve low and moderate-income Utica residents are eligible to apply. Proposals must meet a CDBG National Objective to be considered for funding.

CDBG PROGRAM FUNDING:

The total amount of CDBG funds awarded to the City for Program Year 2021 - 2022 is estimated to be \$2,567,049 based on 2020 – 2021 funding levels. CDBG program funds are not anticipated to be available until August 2021 at the earliest. As CDBG funds are made available on a reimbursement basis, potential applicants should plan accordingly for the delay in approval and release of the funds by the federal government after the official April 1, 2021 start of the program year.

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 \$368,308) can be spent on Public/Human Services.
- Twenty (20%) percent of grant may be used for the City's administrative costs (estimated \$491,078).
- At least 70% of the available funds must be used for activities benefiting low- to moderate-income persons.

QUESTIONS

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

APPLICATION 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 or address the elimination of slum and blighted conditions.
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, February 26, 2021.
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.
- 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).

APPLICATION EVALUATION - SCORING CRITERIA

Applicants will be evaluated in six (6) 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 draft City's 2020 – 2024 Consolidated Plan?	25
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?	15
6. What other funds are being leveraged and how will the program be self-sufficient in the future? Is there a clearly designed plan for reducing reliance on future CDBG funding?	25
TOTAL POINTS [includes bonus points]	100

APPLICATION CHECKLIST

Name of Organization: _____

Project Name: _____

To be considered for funding, each application 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 Application Checklist
- 2 _____ NOFA 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 maximum) 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 2020 Low (80%) Income Limits for the Utica-Rome MSA*

FY 2020 LIMITS	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person
Low-Income (80% of MFI)	40,150	45,900	51,650	57,350	61,950	66,550	71,150

*FY 2021 Income Limits have not yet been announced, but will supersede 2020 limits.

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 submissions 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 Application 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.

3. Activity Goals – Describe in detail the anticipated goals of the proposed activity.

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 2021 – 2022 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 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 daycare.

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.** In addition, if the organization requesting the funding has been funded consistently in the past, explain how continued funding will fund new activities. The City will give priority to those projects that fund new or expanded activities or services, as opposed to ongoing administrative costs.

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. Applicants should be aware that construction projects will likely require compliance with federal Davis-Bacon wage requirements and budget accordingly.

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/DOLLAR AMOUNT			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		\$	
SUBTOTAL	\$	\$	\$				
CONTINGENCY (%)	\$	\$	\$				
TOTAL CONSTRUCTION COST	\$	\$	\$				

Choose from: Anticipated, Committed, In-Hand, Donated or Requested

PROGRAM BUDGET

	TOTAL ACTIVITY COST	CDBG AMOUNT	LEVERAGED FUNDS AMOUNT	LEVERAGED FUNDS SOURCE/DOLLAR AMOUNT			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		\$	
TOTAL PROGRAM COST	\$	\$	\$				Choose from: Anticipated, Committed, In-Hand, Donated or Requested

