CITY OF UTICA

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

DAVID R. ROEFARO
MAYOR

BRIAN THOMAS
COMMISSIONER

2012-2013
ENTITLEMENT FUNDING (CDBG, HOME & ESG) APPLICATION

The City of Utica, New York is now seeking proposals for funding through the City's annual entitlement program for the 2012 – 2013 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. Funding is available through three entitlement formulas: Community Development Block Grant (CDBG), HOME and Emergency Shelter Grant (ESG). CDBG funding is used to support a wide range of activities that primarily benefit low- and moderate-income persons and families. Eligible activities funded by HOME involve housing purchase assistance, new construction and rehabilitation. Services for the homeless are the focus of ESG funds.

To be considered for funding, one original plus ten 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, October 14, 2011. E-mailed copies of the application will not be accepted. Please note that there have been changes to the application from previous years. Additionally, please note that there is a limit on the size of the application submission.

The CDBG Citizens Advisory Committee, in conjunction with Department staff, will host an application workshop on Thursday, August 11th at 6 PM in the Common Council chambers of Utica City Hall, 1 Kennedy Plaza, Utica, New York 13502.

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

- Monday, September 12th at 6:00 PM at Sons of Italy Center, 644 Bleecker Street
- Tuesday, September 20th at 6:30 PM at Parkway Senior Center, 220 Memorial Parkway
- Wednesday, September 28th at 7:00 PM at Holy Trinity School, 1206 Lincoln Avenue

For additional information, contact:

Brian Thomas, Dept. of Urban & Economic Development
Utica City Hall
(315) 792-0181
E-mail: bthomas@cityofutica.com

REVISED July 2011

2012-2013
ENTITLEMENT 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: _____

Requested Funding Source: ☐ CDBG ☐ HOME ☐ ESG
(Check ONLY one per application)

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

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 2011 Low (80%) Income Limits for the Utica-Rome MSA

FY 2011 LIMITS	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person
Low-Income (80% of MFI)	32,500	37,150	41,800	46,400	50,150	53,850	57,550

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 $ _____

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 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 2010-2014 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 2010-2014 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