



# City of Rome, New York

---

## 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 Rome, New York  
Department of Community & Economic Development  
Attn: Mr. Brandon La Roy, Community Development Advisor  
Rome City Hall  
198 North Washington Street  
Rome, New York 13440  
blaroy@romecitygov.com

### **FUNDING SCHEDULE**

RFP Announcement:	Thursday, February 16
Public Meetings:	Tuesday, February 28 @ 5:00 PM Cinema Capitol, 230 W. Dominick St.  Wednesday, March 1 @ 5:00 PM Cinema Capitol, 230 W. Dominick St.
Proposal Submission Deadline:	Friday, March 17 by 12:00 PM Noon

#### **Website Address**

<https://www.romenewyork.com>

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

**BACKGROUND**

This Request for Proposal (RFP) announces the availability of federal funding for the Program Year (PY) January 1, 2016 through December 31, 2016 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 Rome, through the City's Department of Community & 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.

**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 Rome 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 \$926,572.00.

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 \$138,985) can be spent on Public/Human Services.
- Twenty (20%) percent of grant may be used for the City's administrative costs (estimated \$181,572).
- 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 Brandon La Roy at 315.339.7645 or via e-mail at [blaroy@romecitygov.com](mailto:blaroy@romecitygov.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 Rome 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 17, 2017.
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).

## 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 Brandon La Roy at 315.339.7645 or [blaroy@romecitygov.com](mailto:blaroy@romecitygov.com).

- 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

**2016-2017  
COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG)  
Request for Proposal (RFP) Project Form**

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

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

**National Objective – FOR CDBG Proposals 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 2016 Low (80%) Income Limits for the Utica-Rome MSA

<b>FY 2016 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>8 Person</b>
<b>Low- Income</b> <small>(80% of MFI)</small>	33,550	38,350	43,150	47,900	51,750	55,600	59,400	63,250

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.

**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 2017 – 2018 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