

## II. APPLICATION FORMS

### A. PROJECT CONTACT INFORMATION

#### 1. Applicant Information

Organization Name	City of Middletown
Type	Municipality
Mailing Address	16 James Street
City	Middletown
State	NY
Zip + 4	10940
Phone	845-346-4170
Fax	845-343-2009
Primary Email	mbruni@middletown-ny.com
Website	www.middletown-ny.com
EIN	14-6002279
DUNS	07-668-1451
Fiscal Year End	December 31, 2021

#### 2. Chief Elected Official - CEO (If term is ending, please provide new contact information)

First Name	Joseph M.
Last Name	DeStefano
Title	Mayor
Term Effective Date	January 1, 2018
Term End Date	December 31, 2021
New CEO Name	N/A
Title	N/A
Term Effective Date	N/A
Term End Date	N/A
City	Middletown

State	NY
Zip + 4	10940
Phone	845-346-4100
Fax	845-3437439
Email	mayor@middletown-ny.com

**3. Primary Local Grant Contact (Must be a municipal employee other than CEO)**

Name	Caitlin McNamara
Title	Assistant Director, Office of Economic & Community Dev.
Address	16 James Street
City	Middletown
State	NY
Zip + 4	10940
Phone	845-346-4170
Fax	845-343-2009
Email	cmcnamara@middletown-ny.com

**4. Applicant Political District Information**

Congressional District(s)	18			
Assembly District(s)	100			
Senate District(s)	42			

**5. Program/Project Information**

Name of Project	O&W Building Restoration
Location	O&W Train Station
Location Type	Mixed use
Address Specific	2-20 Low Ave.
Community-Wide	N/A
Census Tract/Block Group	001200 / 1014

## B. PROJECT PROPOSAL

### 1. Description of Need

- Provide a brief description of need for the project, including any quantifiable information (for example, the number of people affected, area affected, etc.)
  - The description, to the extent possible, should be based on verifiable documentation attached to the application, such as supports letters, architectural/engineering reports, or market analysis
- Provide an explanation of how the proposed project will address the identified need.
- Describe why CDBG-CV is necessary to complete the project; include a description of efforts taken to secure alternative or additional funds from other public and private sources.
- Identify if other sources are available for the needs identified. Explain why these sources cannot meet the needs addressed by this proposal.

The City of Middletown is requesting funds to rehabilitate and restore The New York, Ontario & Western Middletown Train Station, aka the O&W Station, located at the intersection of Low and Wickham Avenue in Middletown, NY. Funds will be used for both exterior and interior renovations, along with costs associated with ABCD's buildout.

This project will address several needs in the City of Middletown, specifically access to childcare, affordable housing, and neighborhood blight. In 2004, a fire devastated a portion of the building leaving large areas open to the elements. The remainder of the structure is in fair shape; however, the overall condition of the building is contributing to neighborhood blight and health/safety concerns. The City of Middletown is currently working with Agri-Business Child Development (ABCD) to move their programs from their current location to the O&W Building. ABCD has expressed interest in utilizing the first floor for their education programs and some of the second floor for office space. An outdoor play space will also be created for the children. Currently, ABCD at Middletown has two Head Start programs. The Region II Early Head Start grant serves 40 center-based children ages birth to 3, 12 prenatal moms, and 8 home-based children (birth to 3 as well.) The second program is funded with Migrant and Seasonal Head Start funds and serves 45 children ages 3 to 5 whose parents work in agriculture or agricultural related businesses. The majority of families they serve identify as Hispanic and are mainly Spanish speaking households. Many of these families do not have access to a vehicle, however, the O&W Building is within walking distance for 60% of the families ABCD serve. The need for affordable childcare has been great even before the COVID-19 pandemic, especially for the population served by ABCD. This project will increase the accessibility of ABCD's programs and allow for the expansion of their programs.

The third floor of the building will be utilized the City's "On Track to Homeownership Program," which will create 8 units of affordable rental housing. The need for affordable rental units and a pathway to homeownership is great in the City of Middletown. The "On Track" program will offer affordable rentals that will allow residents to start saving money while going through a Homebuyer Education course, allowing them to eventually buy a house in Middletown through the City's Homebuyer Program. The remainder of second floor space not allotted to ABCD will be used as a community meeting/resource space. Community rooms will be available for non-profits and other community groups to hold meetings, events, and other programs geared toward the community such as job training and workshops.

While the City has received some funding for this project from other sources, the ever increasing costs of construction labor and materials make CDBG-CV funds necessary for the rehabilitation of both the exterior and interior of the building. The project will save a listed historic structure while providing necessary services that will be accessible to the local community.

## 2. Connection to Coronavirus

- Describe, specifically, how the project will prevent, prepare for, and/or respond to Coronavirus
  - To qualify for assistance, a direct connection to preventing, preparing for and/or responding to Coronavirus must be demonstrated for each activity that will be undertaken as part of this project.

Before the COVID-19 Pandemic, ABCD was able to provide transportation for its HeadStart programs. Unfortunately, lack of funding became an issue, as exponentially increasing costs such as unfunded minimum wage hikes, higher health care premiums, and ever-increasing transportation costs placed ABCD in an untenable fiscal position. In response to these fiscal challenges, and compounded by COVID-19 related social distancing protocols and NYS office of Children and Family Services mandates requiring a greater number of bus aides needed per bus, it made it fiscally impossible to continue providing transportation services for ABCD families. The COVID-19 crisis has also demonstrated that access to childcare can make or break a family's ability to gain a steady income. For many families two incomes are a necessity, especially for agricultural workers, and the pandemic has shown that without the proper support in place it can be impossible for two parents to work. This has especially been true for women, who have been disproportionately affected by the consequences of COVID-19 and forced from the workforce back into the home. The bulk of childcare has fallen onto women, and those with school age children have also had to play the role of teacher. For those eligible for services through ABCD, this is can be especially daunting when there is a language barrier. Childcare services within walking distance are needed now more than ever, especially for agricultural workers who have been designated as essential workers. Without their hard work, the rest of us go hungry. The size of the building and the ability to retrofit the interior for their needs is attractive to ABCD. While we hope that COVID-19 is not around forever, ABCD will be able to safely run their programs while maintaining State health guidelines, and will even be able to expand upon current programs. The use of the building and the community it serves makes the O&W Station an ideal project for this neighborhood.

The pandemic has also caused an increase of people moving into Middletown from New York City. In search of more spacious places to live with access to public parks, homes and apartments have been quickly snatched up by new residents. While the City of Middletown is thrilled by the influx of new residents, a cost burden has been placed on current residents looking to stay in the area and purchase a home. The "On Track Program" will provide affordable rental units that will allow for participants to save and eventually buy a home in Middletown through the City's Homebuyer Program.

The building will be outfitted with new air filtration equipment, creating a safe and healthy environment for all the activities taking place in the building.

### 3. CDBG National Objective

- Provide a description of how the proposed activities will meet a CDBG National Objective. All CDBG-funded activities must meet one National Objectives:
  - Benefit to Low and Moderate-Income (LMI) Persons. Specify which subcategory you will meet
    - LMA (Low/mod area)
    - LMH (L/ow/mod housing)
    - LMC (Low/mod clientele)
    - LMJ (Low/mod jobs)
    - LMCMC (Low/mod owner microenterprise)
  - Meet an Urgent Community Development Need (URG)
- Each activity proposed must satisfy the requirements of the National Objective selected and evidence of compliance must be submitted with the application as an attachment. Note that New York State expects to primarily award projects that meet the LMI National Objective.
  - If satisfactory evidence of compliance with a National Objective is not provided, the proposed activity will be considered ineligible and will not be considered for funding. For more information, please see the appendix to the application

The total project meets the CDBG National Objective by benefiting low and moderate-income persons and specifically fulfills the following subcategories: LMA, LMH, LMC, and possibly LMJ. The O&W Building is located in Census Tract 12, which according to the 2020 FFIEC Geocode Census Report is a Low-Income Area. 33% are below the poverty line in this tract and the area is a mix of residential and industrial. Minorities make up 85.5% of the tract population, with the majority identifying as Hispanic. ABCD at Middletown has two Head Start programs that serve low income families. The Region II Early Head Start grant serves 40 center-based children ages birth to 3, 12 prenatal moms, and 8 home-based children (birth to 3 as well.) The second program is funded with Migrant and Seasonal Head Start funds and serves 45 children ages 3 to 5 whose parents work in agriculture or agricultural related businesses. The majority of families they serve also identify as Hispanic and are mainly Spanish speaking households. Many of these families do not have access to a vehicle, however, the O&W Building is within walking distance for 60% of the families ABCD serve. The remainder of second floor space not allotted to ABCD will be used as a community meeting/resource space. Community rooms will be available for non-profits and other community groups to hold meetings, events, and other programs geared toward the community. Job training and small business support programs may also be held in this space, possibly fulfilling the LMJ National Objective subcategory. The third floor of the building will be utilized for an affordable housing program. The City is in the early stages of developing a "On Track to Homeownership Program" that will bring 8 units of affordable rental housing into the building. This program will be centered around the City's Home-Buyer Program, which takes vacant homes from tax sales, renovates/rehabilitates them, then sells the homes to participants of a home-buyer education course overseen by non-profit PathStone. These homes are sold at rates that are affordable for new homeowners. The idea behind the "On Track" program is to offer affordable rental housing that allows residents to start saving money while going through the educational process, allowing them to eventually buy a house through our program. In 2004, a fire devastated a portion of the building leaving large areas open to the elements. The remainder of the structure is in fair shape; however, the overall condition of the building is contributing to neighborhood blight. Portions of the building may need to be demolished, but the main structure is salvageable if swift action is taken. Saving the building will help beautify the area and instill community pride, while encouraging other property owners to perform rehabilitation work. The total O&W Station project would expand upon the City's Downtown Revitalization Initiative projects while promoting Historical Preservation/Adaptive Reuse projects and meeting the CDBG National Objective.

#### 4. Impact

- Describe the specific measurable impacts to be realized through this project, i.e. numbers of jobs, housing units, people assisted.
- Provide a financial analysis of project feasibility with and without CDBG-CV funds.
- Describe the impact if CDBG-CV funds were not awarded, i.e. effect on community, business, quality of life, etc.

The O&W Project will have an immense impact on the City of Middletown, not only for the population it serves but on the entire Middletown community. The New York, Ontario & Western Middletown Train Station, aka the O&W Station, was originally built between 1892-1893, the building was altered in 1904 then again in 1920. The building is listed on the National Register of Historic Places and serves as a major gateway into Downtown Middletown. The building's primary function was a passenger train station, however, the building historically housed various businesses such as fine dining establishments and offices. While passenger train services ended in 1957, the station still acted as a business hub, housing a catering hall, a night club, and various other businesses in the 1970's and 80's. The building has been sitting vacant since the early 1990's, however, the tracks are still used by freight trains. The O&W Station is an iconic building in the City of Middletown, and many residents look fondly on its glory days. In 2004, a fire devastated a portion of the building leaving large areas open to the elements. The remainder of the structure is in fair shape; however, the overall condition of the building is contributing to neighborhood blight. Portions of the building may need to be demolished, but the main structure is salvageable if swift action is taken. The City of Middletown's goal is to restore this building to its former glory – or at least as close as possible. The fire damage was extensive to the rear of the building; however, the historic façade may be salvageable. The O&W Building is located in Census Tract 12, which according to the 2020 FFIEC Geocode Census Report is a Low-Income Area. 33% are below the poverty line in this tract and the area is a mix of residential and industrial. Minorities make up 85.5% of the tract population, with the majority identifying as Hispanic. The City of Middletown is currently working with Agri-Business Child Development (ABCD) to move their programs from their current location to the O&W Building. ABCD has expressed interest in utilizing the first floor for their education programs and some of the second floor for office space. An outdoor play space will also be created for the children. Currently, ABCD at Middletown has two Head Start programs. The Region II Early Head Start grant serves 40 center-based children ages birth to 3, 12 prenatal moms, and 8 home-based children (birth to 3 as well.) The second program is funded with Migrant and Seasonal Head Start funds and serves 45 children ages 3 to 5 whose parents work in agriculture or agricultural related businesses. The majority of families they serve identify as Hispanic and are mainly Spanish speaking households. Before the COVID-19 Pandemic, ABCD was able to provide transportation. Unfortunately, lack of funding became an issue, as exponentially increasing costs such as unfunded minimum wage hikes, higher health care premiums, and ever-increasing transportation costs placed ABCD in an untenable fiscal position. In response to these fiscal challenges, and compounded by COVID-19 related social distancing protocols and NYS office of Children and Family Services mandates requiring a greater number of bus aides needed per bus, it made it fiscally impossible to continue providing transportation services for ABCD families. Many of these families do not have access to a vehicle, however, the O&W Building is within walking distance for 60% of the families ABCD serve. The size of the building and the ability to retrofit the interior for their needs is attractive to ABCD. While we hope that COVID-19 is not around forever, ABCD will be able to safely run their programs while maintaining State health guidelines, and will even be able to expand upon current programs. The use of the building and the community it serves makes the O&W Station an ideal project for this neighborhood.

\*Tab to next page to Continue Impact information\*

Most importantly the project would fill gaps in childcare. The COVID-19 crisis has demonstrated that access to childcare can make or break a family's ability to gain a steady income. For many families two incomes are a necessity, especially for agricultural workers, and the pandemic has shown that without the proper support in place it can be impossible for two parents to work. This has especially been true for women, who have been disproportionately affected by the consequences of COVID-19 and forced from the workforce back into the home. The bulk of childcare has fallen onto women, and those with school age children have also had to play the role of teacher. For those eligible for services through ABCD, this is can be especially daunting when there is a language barrier. Childcare services within walking distance are needed now more than ever, especially for agricultural workers who have been designated as essential workers. Without their hard work, the rest of us go hungry. The O&W Historical Society has expressed interest in creating a local railroad history museum in a portion of the building. The group has lobbied for years for the restoration of the building, and a museum will be a perfect addition to the project. The museum will be open to the public and ABCD has already expressed interest in using the museum for educational purposes. The remainder of second floor space not allotted to ABCD will be used as a community meeting/resource space. Community rooms will be available for non-profits and other community groups to hold meetings, events, and other programs geared toward the community. The third floor of the building will be utilized for an affordable housing program. The City is in the early stages of developing a "On Track to Homeownership Program" that will bring 8 units of affordable housing into the building. This program will be centered around the City's First Time Home Buyer Program, which takes vacant homes from tax sales, renovates/rehabilitates them, then sells the homes to participants of a first-time homebuyer course overseen by non-profit PathStone. These homes are sold at rates that are affordable for new homeowners. The idea behind the "On Track" program is to offer affordable housing that allows residents to start saving money while going through the educational process, allowing them to eventually buy a house through our program. The total O&W Station project would expand upon the City's Downtown Revitalization Initiative projects while promoting Historical Preservation/Adaptive Reuse projects. Various buildings have been creatively adapted such as the previously mentioned Rail Trail Commons, Clemson Brewery, and both Equilibrium Brewer locations; all of which have been successful in beautifying the City of Middletown while retaining its historic character. As previously mentioned, the O&W is an iconic building in the City of Middletown. By preserving the building and creating an opportunity for an important organization such as ABCD, we can beautify the area and bring pride to the City. Without CDBG-CV funds the project will be able to move forward, albeit at a smaller scale. Costs will have to be offset to ABCD in the forms of higher rent and responsibility for their own build-out costs. This could hinder ABCD's ability to expand their programs and staffing. Slowing down or scaling back the project due to lack of funding could hinder the impact on the surrounding neighborhood. The City's goal is to complete this project as quick as possible, creating a stronger visual impact that will encourage the beautification of nearby homes and businesses. The businesses already located near the building will be positively affected by the restoration of the area and the elimination of blight, the increase in foot traffic, and the possible patronage of those living in the building. The O&W project will act as an anchor that will spur rehabilitation of an often overlooked part of the City of Middletown.

## 5. Capacity

- Provide a project timeline and describe how the proposed project will be completed within 12 months of award.
  - Describe the administrative structure, e.g. consultant, subrecipients, that will be used to deliver the expected outcomes, including all roles and responsibilities.
  - Briefly describe relevant experience that supports preparedness to deliver the proposed project.
- If applicable - Describe the procurement process that will be used to acquire professional services to complete the project.
- Describe formal partnerships and collaborative efforts in place that will support successful delivery of the proposed project. For example, efforts to avoid duplication of services, leverage other available resources, reach underserved areas and ensure broad geographic distribution of services.
- **If Entitlement community** – Describe how the community is deploying CARES funding that has been directly received. Explain how the proposed project (using NYS CDBG-CV) complements ongoing efforts to administer other CARES funding.

The City of Middletown has already retained an engineer for a preliminary construction timeline, feasibility, and cost estimates. It has also applied for and secured some grant funding, which will allow the project to begin swiftly. The City is awaiting CFA announcements to determine if grant funding will be awarded to this project; announcements are usually made in December. From there, the City can move forward with the procurement process for an engineer/architect and begin the design phase. The City will issue a Request for Qualifications for these services. Because there is documentation and drawings completed for past projects at the site, the City is expecting a quick turnaround for designs and is estimating a timeline of one year to complete this project. The project will be overseen by the Mayor and other Department Heads with the full support of the Common Council. As mentioned an engineer/architect will be hired, along with a project site manager to oversee the day to day construction operations. The Office of Economic and Community Development will oversee the grant and any reimbursement requests. The City of Middletown is a Downtown Revitalization Initiative Recipient and has overseen several large scale renovation and adaptive reuse projects. The City and Council have the capability to administer these grant funds and complete the construction of this project.

ABCD has been acting as the City's partner in this project, and has begun working with their own architect/engineer to determine their needs and costs for the building. They are prepared to move as quickly as the City, and have years of experience with both State and Federally funded grants. Because of the City's partnership with ABCD, State Assemblywoman Gunther has awarded the City \$2 million in state funding for the completion of this project.

The City of Middletown is an Entitlement community, and has used CARES funding to rehabilitate a vacant City owned building and convert it into a Warming Center. Previously, the Greater Middletown Interfaith Council ran its Warming Center out of the basement of a downtown church. The Center provides a warm place for the homeless to sleep during the cold winter nights. Due to the COVID-19 pandemic, the church basement was no longer a suitable location as social distancing was nearly impossible and the ventilation system was in need of major updates. The City offered to renovate the Former Mulberry House Senior Center located next to the church. CARES funding went toward these renovations allowing the Warming Center to continue serving the community while following State Health Protocols. While these projects have different scopes and serve different populations, both projects align with the City's goal to protect and provide for the members of its community.

\* Tab to next page to continue Capacity information\*



\*Capacity continued from previous page\*

## 6. Budget Narrative

- Explain how the attached budget is sufficient to complete the project.
- Explain how costs were determined and describe the method used to determine the best approach and cost-effective method to address the need.
- List the sources and dates of third-party cost estimates.
- Describe any administrative, program delivery, or other soft costs and how the budget for those costs was developed.
- Describe status of other funds, e.g., formally committed, pending approval. If the funds are not formally committed provide timelines for securing commitments.

The City retained an engineer to prepare an estimated budget for the project. ABCD also consulted their own engineer/architect to determine costs, and also looked on past project costs/budgets to determine their preliminary budget.

Using the preliminary budget provided to the City, and accounting for the funds already secured/applied for, the City believes the attached budget to be an accurate estimate of the total project cost.

The project is estimated to cost approximately \$10,650,000. This number includes estimates for both the City's construction responsibility and ABCD's build-out and equipment costs. If awarded CDBG-CV funds, ABCD would act as the City's sub-recipient.

Below is the status and amount of funding the City has applied for/secured:

\$3,000,000.00 in American Rescue Plan Act funds - Secured - no restrictions on use.

\$2,000,000.00 in State Legislative funding (Assemblywoman Gunther) - Secured - no restrictions on use.

\$1,000,000.00 in local City funds - Secured - no restrictions on use.

\$800,000.00 in HOME funds - awaiting award letter - to be used for the creation of rental units.

\$750,000.00 in NYS EPA funds (CFA) - pending - to be used for historical facade renovations.

\*Tab to next page to continue Budget Narrative\*

\*Budget Narrative continued from previous page\*

## C. ACTIVITY DETAIL SHEETS

**Complete only those sections that apply**

<b>1. Community/Public Facilities</b>	
<i>How many people will benefit from this activity?</i>	27605
Source of Data:	Other If "Other" provide details below: Information pulled from IDIS CDBG calculations.
<b>Median Income</b>	<b># of People</b>
At or Below 80%	16040
81% and Above	11565
No Income – Vacant/Seasonal Units	969
<b>Totals</b>	<b>28574</b>

\*Census- if using census data, service area of facility must perfectly match block group or census tract data

<b>2. Affordable Housing</b>		
<i>How Many Housing Units will be Assisted?</i>		
<b>Owner Occupied Units</b> Median Income	<b># of Units</b>	<b># of Households</b>
At or Below 80%		
81% or above		
<b>Totals</b>	0	0
<b>Rental Occupied Units</b> Median Income	<b># of Units</b>	<b># of Households</b>
At or Below 80%		
81% or above		
<b>Totals</b>	0	0
No Income – Vacant Unit		
<b>Number of 4+ Unit Buildings to Be Assisted</b>		
<b>Address for Each 4+ Units Building to be Assisted</b>		

<b>3. Public Services (Vaccine Outreach, Mental Health Services, Broadband)</b>		
<i>How Many Persons Will be Assisted?</i>		
<b>Median Income</b>	<b># of Units</b>	<b># of People</b>
At or Below 80%		

**4. Business Assistance**

Proposed Cost per job

Describe procedure for determining COVID-19 impact on businesses and how economic hardship will be determined and documented. Explain how award amounts and cost per job will be determined for businesses selected for participation.

**Proposed Accomplishments**

**Proposed Number:**

*How Many Jobs will be created/retained?*

**Created**

New full-time jobs to be created

New full-time LMI\* jobs to be created

New part-time jobs to be created

New part-time LMI jobs to be created

Average # of hours worked per week per part-time job created

**Retained \*\***

Full-time jobs to be retained

Full-time LMI jobs to be retained

Part-time jobs to be retained

Part-time LMI jobs to be retained

Average # of hours worked per week per part-time job retained

**Microenterprise (5 or fewer employees)**

**Proposed Accomplishments**

**Proposed Number:**

Total number of Microenterprises

Of the total, enter the # of businesses entrepreneurs who qualify as Low/Moderate Income

\* LOW/MODERATE INCOME (LMI) – LMI jobs are those jobs that are held by or made available to low/moderate income people. Jobs are considered “made available to” if the job does not require any special certifications or training, education beyond high-school or equivalent, and beyond 1 year of experience.

\*\*Provide evidence which clearly demonstrates that jobs will be lost if not for NYS CDBG assistance. For guidance, refer to the Request for Applications (RFA).

Will any jobs created in New York State be transferred or relocated from other business locations?

Yes  No

**D. BUDGET TABLE - FUNDING SOURCES**

APPLICANT NAME: **City of Middletown**

FUNDING									
	NAME OF FUNDING SOURCE	AMOUNT	SOURCE	TYPE	INTEREST RATE	TERM	STATUS	DATE AVAILABLE OR DECISION DATE	
1	American Rescue Plan Act	\$ 3,000,000.00	Federal	Grant			Committed	09/13/2021	
2	State Legislative Funding	\$ 2,000,000.00	State	Grant			Committed		
3	City Funds	\$ 1,000,000.00	Local	Grant			Committed	09/13/2021	
4	HOME	\$ 800,000.00	Federal	Grant			Pending	06/01/2022	
5	EPA	\$ 750,000.00	State	Grant			Pending	12/31/2021	
6			Choose	Choose			Choose		

**E. BUDGET TABLE – USE OF FUNDS**

APPLICANT NAME: City of Middletown

LIST OF ACTIVITIES (List all proposed activities and list, as a separate activity, the Program Delivery associated with each proposed activity.)	CDBG \$ Requested	OTHER FUNDING SOURCES (From Budget Table D)					TOTAL FUNDING	
		Source # 1	Source # 2&5	Source # 3	Source # 4	OTHER SOURCES	ALL SOURCES	
1 Construction	\$ 3,280,000.00	\$ 3,000,000.00	\$ 2,714,000.00	\$ 0.00	\$ 800,000.00	\$ 6,514,000.00	\$ 9,794,000.00	
1A Program Delivery	\$ 820,000.00	\$ 36,000.00	\$ 1,000,000.00			\$ 1,036,000.00	\$ 1,856,000.00	
2						\$ 0.00	\$ 0.00	
2A Program Delivery						\$ 0.00	\$ 0.00	
3						\$ 0.00	\$ 0.00	
3A Program Delivery						\$ 0.00	\$ 0.00	
4						\$ 0.00	\$ 0.00	
4A Program Delivery						\$ 0.00	\$ 0.00	
5						\$ 0.00	\$ 0.00	
5A Program Delivery						\$ 0.00	\$ 0.00	
6 Total Amount for Engineering						\$ 0.00	\$ 0.00	
7 Grant Administration						\$ 0.00	\$ 0.00	
8 Total Amount for Program Delivery (Total of 1A -5A)	\$ 820,000.00	\$ 0.00	\$ 36,000.00	\$ 1,000,000.00	\$ 0.00	\$ 1,036,000.00	\$ 1,856,000.00	
9 Total Amount of Funding	\$ 4,100,000.00	\$ 3,000,000.00	\$ 2,750,000.00	\$ 1,000,000.00	\$ 800,000.00	\$ 7,550,000.00	11,650,000.00	
10 Calculate and enter % of Total Project Cost	% 35.19	% 25.75	% 23.61	% 8.58	% 6.87	% 64.81	100%	

## F. CERTIFICATIONS

### CERTIFICATION REQUIRED BY TITLE I OF THE HOUSING AND COMMUNITY DEVELOPMENT ACT OF 1974, AS AMENDED, WITH RESPECT TO THE COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

In accordance with the Title I of the Housing and Community Development Act of 1974, as amended, the Applicant hereby certifies that:

- a. It possesses legal authority to make a grant submission and to execute a community development and housing program;
- b. Its governing body has duly adopted or passed as an official act a resolution, motion or similar action authorizing the person identified as the official representative of the Applicant to submit the subject application and all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the Applicant to act in connection with the submission of the application and to provide such additional information as may be required;
- c. Prior to submission of its application to the Office of Community Renewal (OCR), the Applicant has met the citizen participation requirements at 24 CFR 570.486 and New York State's Citizen Participation Plan as amended;
- d. The grant will be conducted and administered in compliance with:
  - Title VI of the Civil Rights Act of 1964 (Public Law 88-352, 42 USC 2000d et seq.); and
  - The Fair Housing Act (Public Law 90-284, 42 USC 3601-20);
- e. It will affirmatively further fair housing;
- f. It has developed its application so as to give maximum feasible priority to activities that will benefit LMI families or aid in the prevention or elimination of slums or blight. The application may also include activities which the applicant certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community where other financial resources are not available to meet such needs. The grant shall principally benefit persons of LMI in a manner that ensures that not less than 70% of such funds are used for activities that benefit such persons;
- g. It will not attempt to recover any capital costs of public improvements assisted in whole or in part with funds provided under section 106 of the Act or with amounts resulting from a guarantee under section 108 of the Act by assessing any amount against properties owned and occupied by persons of LMI, including any fee charged or assessment made as a condition of obtaining access to such public improvements, unless:
  - 1) Funds received under section 106 of the Act are used to pay the proportion of such fee or assessment that relates to the capital costs of such public improvements that are financed from revenue sources other than under Title I of the Act; or
  - 2) For purposes of assessing any amount against properties owned and occupied by persons of moderate income, the grantee certifies that it lacks sufficient funds received under section 106 of the Act to comply with the requirements of subparagraph (1) above;
- h. Its notification, inspection, testing and abatement procedures concerning lead-based paint will comply with the applicable laws and regulations found at 24 CFR 570.608;



- i. It will minimize the displacement of persons as a result of activities assisted with CDBG funds;
- j. It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, as required under 24 CFR 570.606 (c) governing the residential anti-displacement and relocation assistance plan under section 104 (d) of the Act (including a certification that the Applicant is following such a plan); and the relocation requirements of 24 CFR 570.606 (d) governing optional relocation assistance under section 105 (a)(11) of the Act;
- k. It has adopted and is enforcing:
  - 1) A policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations; and
  - 2) A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such nonviolent civil rights demonstrations within its jurisdiction;
- l. To the best of its knowledge and belief:
  - 1) No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
  - 2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
  - 3) It will require that the language of this anti-lobbying certification be included in the award documents for all sub-awards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all Subrecipients shall certify and disclose accordingly;
  - 4) This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.
- m. It will continue to provide a drug-free workplace by:
  - 1) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
  - 2) Establishing an ongoing drug-free awareness program to inform employees about:

- i. The dangers of drug abuse in the workplace;
  - ii. The Applicant's policy of maintaining a drug-free workplace;
  - iii. Any available drug counseling, rehabilitation, and employee assistance programs; and
  - iv. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- 3) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (1);
- 4) Notifying the employee in the statement required by paragraph (1) that, as a condition of employment under the grant, the employee will:
  - i. Abide by the terms of the statement; and
  - ii. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- 5) Notifying the OCR in writing, within ten calendar days after receiving notice under subparagraph (4) (ii) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- 6) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (4) (ii), with respect to any employee who is so convicted:
  - i. Taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - ii. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency
- 7) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (1), (2), (3), (4), (5) and (6).
- 8) The Applicant may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

2-20 Low Ave, Middletown, Orange County, New York, 10940

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- 9) Workplaces under grants, for Applicants other than individuals, need not be identified on the certification. If known, they may be identified on the certification. If the Applicant does not identify the workplaces at the time of the application, or upon award, if there is no application, the Applicant must keep the identity of the workplace(s) on file its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the Applicant's drug-free workplace requirements.

10) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g. all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio stations).

11) If the workplace identified to OCR changes during the performance of the grant, the Applicant shall inform OCR of the change(s), if it previously identified the workplaces.

12) This certification is a material representation of fact upon which reliance is placed when OCR awards the grant. If it is later determined that the Applicant knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, OCR may take action authorized under said Act.

- n. It will comply with Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) and the implementing regulations in 24 CFR part 135. Section 3 requires that employment and other economic opportunities arising in connection with housing rehabilitation, housing construction, or other public construction projects shall, to the greatest extent feasible, and consistent with existing Federal, State, and local laws and regulations, be given to low- and very low-income persons;
- o. It will comply with the other provisions of the Act and with other applicable laws;
- p. It is in compliance with a HUD-approved Consolidated Plan;
- q. It is in compliance with grant spending threshold requirements as outlined in the Application;  
and
- r. It will comply with all applicable federal/State/local affirmative action requirements.
- s. To the best of its knowledge and belief all data provided in this application is true and correct.

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Date

Name: Joseph M. DeStefano

Title Mayor