



MICHAEL P. GALIME
MAYOR

CITY OF UTICA

URBAN & ECONOMIC DEVELOPMENT

1 KENNEDY PLAZA, UTICA, NEW YORK 13502

PH. 315-792-0181 | FAX. 315-797-6607

BRIAN THOMAS, AICP
COMMISSIONER

R02-26-A-010

APPLICATION INFORMATION SHEET

1. Applicant Identification:

City of Utica
1 Kennedy Plaza
Utica, NY 13502

2. URL Website : <https://www.cityofutica.com/>

3. Funding Requested:

- a. Brownfield Grant Type: Brownfield Community-Wide Assessment Grant
- b. Federal Funds Requested = \$500,000

4. Location:

City: Utica
County: Oneida County
State: New York

5. Target Areas and Priority Site Information: (check with Tom)

Sites include:

1. Nexus Neighborhood Parcels, Utica, NY
2. 901 Broad Street, Utica, NY
3. 119 Whitesboro Street, Utica, NY
4. 1712 Erie Street, Utica, NY

6. Contacts

a. Project Director:

Laura Cohen
 City of Utica
 1 Kennedy Plaza
 Utica, NY 13502
 315-792-0181
 lcohen@cityofutica.com

b. Chief Executive/Highest Ranking Elected Official

Mayor Michael P. Galime
 Mayor's Office
 City of Utica
 1 Kennedy Plaza
 Utica, NY 13502
 315-792-0100
 mayor@cityofutica.com

7. Population : Target Area = 65,283

8. Other Factors

Other Factors Checklist	Page #
Community Population is 15,000 or less.	NA
The applicant is, or will assist a federally recognized Indian Tribe or United States Territory	NA
The priority site is impacted by mine-scarred land.	NA
The priority site is adjacent to a body of water (i.e. the border of the priority site(s) is contiguous or partially contiguous to the body of water, or would be contiguous or partially contiguous with a body of water but for a street, road, or other public thoroughfare separating them).	NA
The priority site(s) is in a federally designated flood plain.	NA
The reuse of the priority site(s) will facilitate renewable energy from wind, solar, or geothermal energy.	3
The reuse of the priority cleanup site(s) will incorporate energy efficiency measures.	3
The proposed project will improve local resilience to the impacts of extreme weather events and natural disasters.	NA
At least 30% of the overall project budget will be spent on eligible reuse/area-wide planning activities, as described in <u>Section 3.A.(2)</u> . for priority sites within the target area(s).	NA
The target area(s) is impacted by a coal-fired power plant that has recently closed (2015 or later) or is closing.	NA

9. Letter from State

Separate Attachment from the NYS Dept. of Environmental Conservation

10. Releasing Copies of Applications:

This information is not confidential, privileged, or sensitive and may be made public.



**Department of
Environmental
Conservation**

KATHY HOCHUL
Governor

AMANDA LEFTON
Commissioner

January 7, 2026

Brian Thomas
Commissioner, Urban and Economic Development
City of Utica
1 Kennedy Plaza
Utica, NY 13502

Dear Mr. Thomas

This is to acknowledge that the New York State Department of Environmental Conservation (DEC) received a request from HRP Associates on behalf of the City of Utica, dated January 6, 2026, for a state acknowledgement letter for a Federal Year 2026 United States Environmental Protection Agency (USEPA) Brownfields grant.

I understand that the City of Utica plans to submit a Brownfield Community-Wide Assessment grant application for hazardous substances and petroleum in the amount of \$500,000. Focus of the funding will be to conduct Phase I and II Environmental Site Assessments at targeted sites throughout the City of Utica. Sites include 901 Broad Street, 119 Whitesboro Avenue, 1712 Erie Street, and the Nexus Neighborhood Parcels. Known contamination includes petroleum, asbestos, VOCs, SVOCs, and metals. Funding will also be allocated for reuse planning and community engagement. Please note that the USEPA criteria for an assessment grant specifies that, if selected, the City of Utica may only expend up to \$200,000 of the grant on a specific site.

DEC encourages initiatives to redevelop brownfields with the goal of mitigating any environmental and health impacts that they might pose.

Sincerely,

Karen Diligent
Director, Bureau of Program Management

ec: N. Azzam, USEPA Region 2
S. Mitchell, USEPA Region 2
J. Smith-Gagnon, DEC Region 6
D. Storandt, DEC Region 6
J. Pelton, DEC Albany
B. Thomas, City of Utica
J. Spaeth, City of Utica
L. Cohen, City of Utica
D. Lisa, HRP Associates

1. PROJECT AREA DESCRIPTION AND PLANS FOR REVITALIZATION

Target Areas and Brownfields

1.a Overview of Brownfield Challenges and Description of Target Area

Utica, New York (NY), a small City of 64,723, is strategically located in central NY within Onieda County's Mohawk Valley (MV), approximately 90 miles northwest of Albany and about 50 miles east of Syracuse. Bordered by the Adirondack Mountains to the north, the City sits at the confluence of the Mohawk River and the New York State Erie Canal System, which powered the City's historical industrial hub. Beginning in the early 1800s, mining and manufacturing companies prospered in the resource-rich Utica area. The construction of the Erie Canal along the Mohawk River in the mid-1800s vaulted the area to entrepreneurial dominance, and it became a global leader in design, engineering, and technology. As the manufacturing base grew, people were drawn to the City's furniture, heavy machinery, textiles, and lumber manufacturers. In time, globalization and the migration of companies to lower-cost areas led to plant closures and layoffs. The City's population peaked in 1960 at 101,401, then began a prolonged painful decline. The 1990s saw the end of the Cold War and a further decline with the closing of two dominant employment centers: Griffiss Air Force Base in 1995 and a nearby Lockheed Martin facility in 1996, eliminating nearly 7,000 civilian and military jobs virtually overnight. These closures precipitated a severe downturn and the failure of numerous local industrial facilities, including Duofold (100 jobs), Chicago Pneumatic (450 jobs), Union Fork and Hoe (75 jobs), Lasalle Labs (350 jobs), and H.M. Quackenbush (90 jobs). Between 2006 and 2019, the region lost an additional 8,000 jobs across all sectors. Manufacturing was a particularly hard hit, with the closing of dozens of plants and a net loss of 3,000 jobs. Most recently, in 2024, Utica Boiler announced it was closing its Utica facility, eliminating 40 jobs, and Remington Arms in neighboring Ilion closed, eliminating over 550 jobs since 2020. Today, Utica's population is 64,723, a staggering 36% decline compared to a 20% increase for NYS over the same period.

The loss of industry and population decline left numerous brownfields; an astounding 459 acres within Utica's 1,100-acre urban core are brownfields. The former manufacturing sites now sit decaying with broken windows, collapsed roofs, exposed asbestos-containing material and graffiti, inviting vagrants. The impact of this disinvestment is breathtaking. Obvious to casual observers is the blight in downtown areas where vacant buildings are collapsing under their own weight, exposing residents to physical and environmental hazards. The risks are well beyond what one can see. Hundreds of industrial facilities closed before the era of environmental regulations leaving behind vacant abandoned buildings where owners cannot be found. These abandoned sites pose significant public safety, health hazards, financial strain, and economic decline. The remaining population lives in poverty in the shadows of vacant and decaying buildings creating conditions that have resulted in high homicide rates and opioid overdose deaths and greater rates of disease and adverse health conditions when compared to NYS. The Brownfield Target area faces numerous challenges, diminished incomes, emigration, deteriorating housing, loss of jobs and population and the number of brownfields.

Economically, these contaminated sites deter investment and limit redevelopment opportunities. Developers are hesitant to engage brownfields, leading to stagnation in areas that could otherwise be revitalized and economically beneficial. This grant will provide critical funding to inventory and investigate brownfields to encourage investment that will clean up brownfields to reduce sensitive populations that are disproportionately exposed to contamination, reduce incidence of disease and adverse health conditions remove blight, provide jobs, access to open space, and refurbish buildings for use as low to moderate income housing.

The Target Area (TA) is the Central Industrial Corridor Brownfield Opportunity Area (BOA¹) - 1,100-acres, bisected by the Mohawk River, on the outskirts of downtown Utica, along a historical transportation corridor (Erie Canal, railroad and highways) spanning the length (east to west) of the City bound by Interstate 90 to north, and Route 5S to the south. The BOA, which has an extensive industrial history, is characterized by vacant, underutilized decaying and vacant structures, occupied by 1,313 low-income residents (38% below poverty vs. 13% NYS) living in substandard housing (49% of homes were built before the 1940s).

1.b Description of the Priority Brownfield Sites

The TA contains 46 brownfield sites spanning 459 acres including vacant/abandoned industrial operations including knitting mills, jewelry box manufacturers, cardboard box manufacturers, metal processors, scrap yards, gasoline stations, and petroleum storage facilities. The priority sites, considered catalytic as their development will spur investment in nearby sites, were selected based on: perceived/known presence of contamination; reuse potential; relationship to community vision and goals; and opportunity for sustainable development. These unsecured brownfields expose sensitive populations to volatile organic compounds (VOCs), polychlorinated biphenyls (PCBs), polycyclic aromatic hydrocarbons (PAHs), petroleum, metals, asbestos, and other carcinogens. Described below are the priority sites.

Nexus Neighborhood Parcels, Utica- 14 acre densely developed area of 3 city blocks (bound by Whitesboro St. - north, Oriskany St. - south, Broadway - west and Hotel St. - east), including 60,000ft² (est.) of buildings in various condition (fair to collapsing), located at the edge of downtown Utica adjacent to the Nexus Center (140,000 ft² sports/recreation hub for tournament-based recreation play). A previous Phase I determined that the parcels, occupied by abandoned and underutilized buildings, were historically utilized by auto repair facilities, salvage yards, cotton and knitting mills, flour storage, tin shops, and metal working shops, etc. Due to the site's historical use, it perceived that VOCs, PCBs, metals, and asbestos pose a threat to the surrounding public. The site is a priority for assessment due to its location adjacent to the Nexus Center and presence of numerous vacant and underutilized buildings that offer potential to serve as a catalyst for area redevelopment.

901 Broad St., Utica- 15-acre underutilized site, occupied by a 422,000 ft² building constructed in 1950 that is in fair condition. Beginning in the early 1950s, GE operated the facility to manufacture, assemble and test electrical components for the defense and aerospace industries, including radar and aircraft guidance systems until 1992 when the building was abandoned. Since 1992 the site has been underutilized with portions occupied by several tenants and other sections falling into disrepair. No site investigations have been completed, however records indicated numerous spills of petroleum and hydraulic fluids occurred at the site. Also, due to the age of the building asbestos containing building materials are likely present. The site is a priority for assessment due to its visual dominance along Broad St. and its conversion to residential and mixed-use living will rejuvenate the Broad St. corridor.

119 Whitesboro St, Utica- 0.4-acre site occupied by an abandoned 12,000 ft² one-story brick building, which is currently vacant. The site was utilized as a residence from the 1880s until 1925 when it was occupied by auto repair and fueling sites until operations ceased sometime in the 1990s. The site has been abandoned since. As a result of use, VOCs, PCBs, metals, and asbestos may have been released to the site's soil and groundwater. It is a priority for assessment due to its prominent location adjacent to the NEXUS Center and potential for infill development to encourage investment and business development nearby.

1712 Erie Boulevard, Utica- a 5.33-acre vacant site is blighted by rubble and remnants of building debris. Surrounded by commercial businesses, vacant lots, and residential buildings. The site was used by various manufacturing operations for production of knitting goods, jewelry boxes, plastic, flooring, and coal storage from at least 1899 until 2004 when the facility was abandoned and demolished. Site investigations have determined that VOCs, PAHs, and metals are present in soil and VOCs are present in the groundwater. Additional investigations are required to determine the degree and extent of soil and groundwater contamination and evaluate soil gas. The site is a priority for assessment since a developer has signed a conditional purchase agreement to revitalize the site as an auto dealership.

1.c Identifying Additional Brownfield Sites

As noted above, during the completion of the **Central Industrial Corridor BOA** 46 brownfield sites spanning 459 acres were identified through comprehensive study and public outreach activities. In addition, as part of this grant, a Brownfield inventory will be completed of the entire City by querying available EPA and NYSDEC environmental databases (spills, remediation, USTs, etc.) and other available resources to identify vacant buildings, dry cleaners and gasoline stations, for potential brownfields and uploaded into a GIS database to facilitate information sharing amongst stakeholders. In addition, a brownfield awareness training course for community members (i.e., leaders/stakeholders and public) will be completed. The training/outreach will educate community members on what is a brownfield, the needs and opportunities and encourage community members to assist in identifying additional sites. Due to Utica's industrial legacy, numerous additional brownfields are located in the city. Utica will work with partners identified in section 2.f and the community via periodic outreach

meetings to prioritize brownfields based on sensitive populations, redevelopment potential based on community goals, and removal of environmental contamination.

Revitalization of the Target Area

1.d Reuse Strategy and Alignment with Revitalization Plans

The goals for Utica's Central Industrial Corridor Brownfield Opportunity Area (BOA) include revitalizing the neighborhood by creating jobs, increasing housing and community amenities, and boosting the local tax base. The BOA Plan was developed building on previous planning initiatives, including the City's revitalization master plans and Mohawk Valley Strategic Plans which direct investment to address brownfields and disinvestment by encouraging infill development and attracting residential and commercial activities. The BOA outlines a strategic plan to address environmental concerns, mitigate public health risks, and support community-based redevelopment through public and private partnerships. Additionally, the plans encourage the use of renewable energy from wind, solar or geothermal energy and will incorporate energy efficiency whenever possible. Ultimately, the vision is to transform these underutilized sites into productive spaces through a collaborative, community-driven process. As outlined below, the priority site reuse plans are in alignment with the local government reuse plans:

Site	Reuse Plans as detailed in the Utica Central Corridor BOA
Nexus neighborhood	Redevelop 60,000 ft ² (est) of underutilized/abandoned buildings for commercial and residential complex including hospitality, residential, retail, medical services in support of the adjacent Nexus Center and provide a connection between downtown and outer neighborhoods.
901 Broad St.	Residential/mixed reuse of the existing 422,000 ft ² building to rejuvenate Broad Street corridor while providing needed housing. Inclusion of commercial would complement this redevelopment.
119 Whitesboro St.	Mixed-use redevelopment of the existing 12,000 ft ² building, with commercial or office space on the ground floor and residential uses on the upper floors.
1712 Erie Boulevard	Redevelop site as auto dealership including 20,000 ft ² building

1.e Outcomes and Benefits of Reuse Strategy

The proposed projects will remove blight, environmental hazards, and a threat to the area's residents, especially surrounding children that have a habit of entering vacant lots. Assessment services will use local construction crews/vendors and solicit Brownfield Training graduates from the Herkimer, Madison and Oneida County Brownfield Training Grant whenever possible. Living conditions and opportunities for surrounding sensitive populations will be improved by: investigating/cleaning up to 35 acres for redevelopment; removing blight, rehabilitating/constructing 490,000 ft² of building for low income residential units (200 units et.) and 20,000 ft² of commercial space); and creating construction and permanent jobs. In addition, tax revenue will be increased, surrounding property values will increase, and investment will be encouraged. Most importantly, the project will reduce sensitive population exposure to hazardous substances, address affordable housing, provide commercial space for businesses, increased tax revenue and encourage investment in the neighborhood. In addition, the project goals are in alignment with Pillar 1 (ensure that there is clean air, land, and water for the area's residents) and 3 (grant recipient will engage in cross agency partnerships with the NYSDEC and other agencies, when possible) of EPA 5 Pillars of Powering the Great American Comeback" Initiative. Specific site benefits include:

Site	Outcomes and Benefits
Nexus Neighborhood	Assessment will support an \$110 M project to remove blight, construct/rehabilitate 60,000 ft ² of buildings to create space for local entrepreneurial investment and affordable housing. Provide connection between the Mohawk River and downtown resiliency features to flooding. Also, construction and permanent jobs will be created. The development will encourage additional investment downtown.
901 Broad St	Address blight by rehabilitating 422,000 ft ² buildings, creating construction and permanent jobs. Provide residential units, commercial space and a revitalized area.
119 Whitesboro St.	Address blight, provide residential units and commercial spaces, create construction and permanent jobs.
1712 Erie Blvd	Address blight, provide commercial spaces, create construction and permanent jobs.

During site investigation/remediation green investigation and remediation principles will be utilized and as part of the BOA-wide strategy, green infrastructure will be incorporated as part of the strategy for pedestrian-oriented design and streetscape enhancements in the target area. Also Utica follows the Energy Conservation Construction Code of New York State (ECCCNYS), which mandates significant energy efficiency (insulation, walls, HVAC, lighting) for new/renovated buildings, and while *not* always requiring on-site solar, it pushes towards renewable energy by allowing options like solar readiness or even requiring solar.

Strategy for Leveraging Resources

1.f Resources Needed for Site Reuse

Securing an Assessment grant to complete assessments is essential to stimulate the availability of additional public and private funding to complete the environmental cleanup and site revitalization. For example, each of the noted grants requires assessment information with submission of an application to obtain funding to construct building, demolish/rehabilitate or construct a building for housing, providing a loan or subgrant for remediation or entering a site into the NYS Department of Environmental Protection Brownfield Cleanup Program (BCP). The noted sites are eligible for listed funding based on site reuse.

Site	Funding Source	Purpose	Likelihood to Secure
Nexus Neighborhood	NYS Advancing Collaboration for High-impact Initiatives for Economic Visions & Expansion (ACHIEVE) Grant	Site Development -Requested \$20M to assist with building rehabilitation	Possible- competitive applicable process. Application submitted
Nexus Neighborhood, 901 Broad St 119 Whitesboro St 1712 Erie Blvd	MV Economic Development District EPA Revolving Loan Fund	Remediation – request loan	High- fundings based on meeting project threshold
	NYS Energy Research Development Agency	Site Development – Grants/tax credits to fund energy-efficient/renewable energy projects	High- fundings based on meeting project threshold
	NYSDEC Brownfield Cleanup Program and Tax Credits	Site Remediation – Provides environmental liability protection and tax credits for site remediation and development to taxpayers via an application process.	High- fundings based on meeting project threshold
Nexus Neighborhood, 901 Broad St 119 Whitesboro St	NYS Housing and Community Renewal	Site Development - Provides tax credits for construction of residential units	Competitive application process -submitted once assessment completed
	NYS Empire State Development - Restore NY	Site Development - \$150M in demolition/rehabilitation funds available statewide to municipalities via annual application process.	Competitive application process submitted once site redevelopment designed

1.g Use of Existing Infrastructure

A review of the site’s infrastructure, conducted during the BOA review, reported that comprehensive public and private infrastructure including water, storm sewer, sanitary sewer, gas, electric, telecommunications, and fiber optic cable are adequate to support development. The Mohawk Valley Water Authority (MVWA) and City of Utica, which provide water and sewage for the site, reported that there is adequate capacity to support site redevelopment. In addition, the site fronts primary public transportation and pedestrian routes. Sidewalks are present on both Erie and Oriskany Streets. Centro Bus provides public transportation to the area and connects downtown and other employment centers. During the redevelopment of priority sites, connections to the existing infrastructure will be completed.

2.0 COMMUNITY NEED AND COMMUNITY ENGAGEMENT

Community Need

2.a Community Need for Funding

As a small rural City with a declining population (65,287, 2020 vs. 64,081, 2022), US Census data noted Utica suffers from poverty (29% vs. 13% NYS), low per-capita income (\$33,212 vs. \$47,173 NYS), low home median values (\$189,798 vs. \$405,000 NYS) and a crushing property tax rate (\$15.13 per \$1,000 which is double NYS's median rate of \$7.05 per \$1,000- NYS Comptroller Office). Not surprisingly, a 2023 financial audit by the NYS Office of Comptroller reported that the City is under stress as evidenced by the 7.8% tax increase in 2023. It must be noted that the mayor requested a 16.5% increase. These financial issues are only amplified in the TA where 61% of the population has low income, almost three times the NYS rate of 28%. The high degree of poverty creates a large demand for services that are not commensurate with the community's available financial resources. Given the financial limitations of the local tax base and competing needs for basic services, the City is unable to address brownfields without outside assistance and relies on federal and state funding sources for assessment and remediation.

2.b Health and Welfare of Sensitive Populations

US Census data identified the following sensitive populations disproportionately exposed to brownfields within the TAs: low-income, unemployed individuals and children under five. Other sensitive populations, according to the City of Utica Health Equity Report prepared by NYSDOH, include pregnant women and infants due to high preterm births (10% Utica vs. 9% NYS) and low birth weight babies (7.4% Utica vs. 6.2% NYS). According to the Oneida County Health Assessment (OCHA) and NYSDOH, these sensitive populations are adversely impacted by the following elevated adverse health and welfare issues: birth defects (309/10k births vs. 287/10k NYS, DOH); poverty (38% vs. 13% NYS, OCHA); depression (28.6% vs. 19.5% US, OCHA); obesity (39% vs. 33% NYS, OCHA); suicide (9.2/100k vs. 7.5/100k NYS); food insecurity / residents receiving food stamps (23% vs. 10% NYS, OCHA); opioid overdose deaths (30.1/100k vs. 22.9/100k, DOH); and teen pregnancy (45.7/1k births vs 41.3/1k NYS, OCHA). The number of children under six years old with blood lead levels >10µg/dl per 1,000 is almost five times greater than NYS (29.8 vs. 6.0 NYS).

Many of these health and welfare conditions can be attributed to the sensitive populations' poor living conditions and daily exposure to environmental contaminants and blight. Addressing hazardous substances including metals, VOCs, PAHs will directly mitigate the risk of birth defects and developmental disabilities that disproportionately affect children and pregnant women living near toxic waste. Site redevelopment will create jobs to combat poverty, increase tax revenue to assist a cash strapped city, increase surrounding poverty value and provide economic vitality. Remediating and redeveloping the sites will provide a critical pathway to improving the physical, mental, and economic health of sensitive populations.

2.c Greater-than-Normal Incidence of Disease and Adverse Health Conditions

Although specific health and welfare data is not available for Utica the NYSDOH indicates that County residents suffer from Asthma (10.9% vs 9.9% NYS), birth defects (310 per 100k live births vs. 287 NYS) and incidence of Cancer 496.5 vs 466.1 NNYS). NYS County Health Rankings ranks Oneida County, the County in which Utica is located is among the least healthy counties in NY (lowest 25%). The County's low health ratings are due to a variety of adverse health conditions including heart disease, asthma, cancer, and disabilities. According to the Oneida County Health Assessment, residents have a greater-than-normal incidence of disease and adverse health including:

- Cancer – lip, oral cavity, and pharynx cancer per 1,000 - 3.2 vs. 2.7 NYS, prostate cancer per 1,000 - 145.1 vs. 129.4 NYS and colon cancer per 1,000 - 17.1 vs. 12.4 NYS.
- Heart disease hospitalizations per 10,000 - 142.2 vs. 126.0 NYS.
- Strokes per 100,000 – 38.5 vs. 27.5 NYS.

Many of the poor health conditions (stroke, cancer, heart disease) can be attributed to the persistent exposure to environmental contamination including VOCs, PAHs, asbestos and metals which are present at the site. This project will ensure that sensitive populations receive the greatest project benefits via: 1) reducing the percentage of income spent on housing by promoting the construction of additional affordable housing; 2) reducing environmental hazards through the cleanup of contaminants; 3) eliminating blight; and 4) providing jobs.

2.d Economically Impoverished/Disproportionately Impacted Populations

The target area is shouldering with the burden of the past industrial productivity of the US, and subsequent decline. There is one EPA Superfund site and over 100 potential brownfields which have exposed the residents and important ecological resources (Mohawk River and tributaries) to pollution for decades. The grant will conduct site investigations to identify sources of contamination (metals, VOCs, asbestos and PAHs) contributing to the noted greater than normal incidence of disease and adverse health conditions. Once the sources of contamination threatening sensitive populations are identified, remediation plans will be developed to eliminate the source of contamination. Eliminating contamination from soil, water, and air in Utica will have profound public health benefits. Exposure to pollutants such as PAHs is linked to increased risks of stroke, cardiovascular disease, and certain cancer and chemical exposure can contribute to birth defects, infant mortality and developmental complications. Reducing these contaminants will lower chronic inflammation and oxidative stress in at-risk groups, improving overall health outcomes and decreasing health care burdens. Cleaner environments not only prevent acute illnesses but also reduce long-term risks, creating healthier conditions for children, seniors, and economically disadvantaged residents who are disproportionately affected by these hazards.

The grant funding will provide information to apply for grant or attract developers to remove blight and construct new housing, and commercial buildings will create construction jobs, provide space for local entrepreneurial investment and affordable housing will encourage additional investment in downtown areas. Also, children, seniors and low-income individuals will have an opportunity to live in new hazard free housing.

Community Engagement

2.e Project Involvement

Utica will develop a written Community Involvement Plan to document and formalize the process of sharing information and seek public input to decision-making. Input will be sought on site selection, project planning, and cleanup/reuse planning. The public will be given a chance to submit suggested sites for assessment/investigation/reuse through community meeting participation. The community can participate in the prioritization process through planning charrettes and public meetings. The table below includes local organizations that will be included in the Community engagement and be involved in decisions with respect to roles in the Project.

2.f Project Roles

Entity Name/Mission	Point of contact (name, email, phone)	Specific role in the project
East Utica Concerned Citizens/ active in issues and concerns impacting East Utica.	Lucretia Hunt, 315-732-1032	Assist with public outreach, brownfields inventory, site selection and provide input regarding site selection, site cleanup and reuse.
Home Ownership Center/ Encourages home ownership with education, financially responsible and empowered individuals, to create safe, stable and prosperous neighborhoods.	Danielle Smith, CEO 315-724-4197	Assist with public outreach brownfields inventory, site selection and provide input, site cleanup and reuse.
Community Action Partnership/ advocate for sensitive populations	Amy Turner, Director 315-624-9930	Liaison to relevant community organizations. Assist with community outreach and engagement, focusing on public health and social justice. Assist brownfield inventory, site selection and provide input for site cleanup and reuse.
Workforce Development Board of Herkimer, Madison and Oneida County and Brownfield Training Grant/Job Training	<u>Austen Johnson</u> ajohnson@working-solutions.org 315-207-6951	Participate in identification of EPA Brownfields Training Grant graduates to assist with project implementation.
Mohawk Valley Regional Economic Dev. Council/Regional Economic Planning and Development	Allison Nowak <u>Allison.nowak@esd.ny.gov</u> 315-793-2366	Coordinator for regional planning, support, and financial assistance for redevelopment through NYS CFA and RESTORE NY programs.
BOA Steering Committee	Brian Thomas, Commissioner Utica Urban Renewal and Eco Dev. bthomas@cityofUtica.com	Assist with public outreach brownfields inventory, site selection and provide input on site cleanup and reuse. Provide meeting space.

2.g Incorporating Community Input

Utica will build off the existing community involvement program that was utilized during the Utica Central Industrial Corridor BOA program. Since 2011 Utica has been engaged in vision and conceptual planning for the site's redevelopment. To obtain and incorporate community, Utica will initially create a Task Force that includes the Partners listed in Section 2.f. Once the Task Force is created, the following will be completed: 1) Announce the award in a press release to the local newspaper, place an ad on local radio stations and the local Public Access Television station. The announcement will also be posted on Utica's websites and social media (Facebook and Twitter) pages. Key community partners (Section 2.f) will be given information to distribute and place on their websites. 2) Host an initial public outreach meeting to "kick-off" the grant and acquaint the Task Force and the media with the brownfield process. Utica will ask the Task Force and the public to identify key brownfields they believe are impacting their health and welfare. These sites will be added to the list of Priority sites. Meeting outcomes, community input and project progress updates will be distributed through Task Force websites and community social media pages and a newsletter. 3) Communication will continue with the Task Force and conduct quarterly public outreach meetings to update project progress and obtain comments from the community. The Task Force will evaluate comments in consideration of the TAs goals, strategy, and reuse and provide written responses. Based on the evaluation of the comments the Task Force will act accordingly. Additional public meetings and presentations will be coordinated as requested by community organizations. At the close of the project, Utica will hold a public meeting to share project outcomes. Presentation materials and minutes will be archived and placed on Utica's websites and social media pages. Social media and other methods will be used to reach out and gather input from the public. If requested, news releases, web postings, written materials, etc. will be available in other languages for residents whose first language is not English. Also, meetings will be held at locations accessible to all and available on-line via readily available on-line service.

3 TASK DESCRIPTIONS, COST ESTIMATES, AND MEASURING PROGRESS

Description of Tasks/Activities and Outputs

Task 1 – Project Management, Reporting & Other Eligible Activities

3.a Project Implementation: This task will include: 1) cooperative agreement compliance oversight; 2) selection of a QEP in accordance with Utica requirements and 2 CFR 200.317-326; 3) Federal Financial Report (FFR) reporting; 4) Property Profile Form submission and updates in the EPA's Assessment, Cleanup, and Redevelopment Exchange System (ACRES) database; 5) monthly status meetings with QEP to ensure all activities are moving forward, goals and objectives are being met, and if not, actions are developed to address; 6) report summarizing accomplishments, expenditures, outcomes, outputs, lessons learned, and resources leveraged at the completion of the grant. Utica anticipates that one member from Utica will attend one local and two national brownfield events during the performance period of the grant.

3.b Anticipated Project Schedule: Activities will be completed over the four-year grant period. QEP selection will be completed in the first quarter of the grant award.

3.c Task/Activity Lead: Utica with support from QEP.

3.d Outputs: Quarterly reports with status tables (16), Annual FFR report (4), Final project closeout report (1), ACRES profiles (~12 sites) updated with completion of each project element), member from Utica attending 3 brownfield events, approximately 48 monthly meetings and QEP selection.

Task 2 – Community Engagement & Site Inventory/Prioritization:

3.a Project Implementation: This task will include: 1) preparation of Community Involvement Plan; 2) outreach materials including updated web content and fact sheets; 3) A site inventory will be created and will be uploaded into a GIS database that will be circulated for stakeholder access, community meetings and to share with potential developers to spur development; the inventory will be updated during years two and three; 4) solicitation and consideration and response to community input, including an estimated 16 public/stakeholder meetings; and 5) coordination of meetings with property owners to encourage brownfield reuse and participation in the project. Initial broad planning review of inventory sites will determine the next steps for each site, e.g., Phase I, Phase II, or detailed planning study if assessments are adequate. Use of screening tools (e.g.,

opportunity zones, flood mapping) will be used to identify new priority sites. The Utica legal representative will work to obtain access agreements. Sites will be selected that can support near-term growth and spur economic activity in distressed areas.

3.b Anticipated Project Schedule: Preparation of community involvement plan and outreach materials, Quarter 1. Development of Site Inventory, and prioritization of sites to be assessed will occur in Quarter 1 – Quarter 2. Meetings with the taskforce, community members, and property owners, throughout the grant period (four years). Update inventory twice in years two and three based on community input.

3.c Task/Activity Lead: Utica will be the lead, with input from community partners and QEP.

3.d Outputs: Community involvement plan, prioritized site inventory, eligibility forms and access agreements (~22), 16 public meetings, up to 16 meetings with property owners, updated inventory, web content and fact sheets (up to 16 events), meet with local trade/club groups one-two times per year.

Task 3 – Phase I/Phase II ESAs/RBM, Site Cleanup and Reuse Planning:

3.a Project Implementation: Based on the outcome of Task 2, Utica will direct the QEP to obtain EPA site approvals, prepare a master Quality Assurance Project Plan (QAPP)/Health and Safety Plan (HASP), up to ten Phase Is in accordance with the All-Appropriate Inquiries Final Rule and ASTM International (ASTM) E1527-21 Phase I ESA standard. Completion of up to four Phase IIs conforming to EPA/NYSDEC requirements and ASTM 1903-11. Regulated Building Material (RBM) surveys will be completed at up to four sites for lead, asbestos and PCBs. Each Phase II ESA/RBM survey will include the following: 1) a Sampling and Analysis Plan (SAP), 2) materials demonstrating compliance with the National Historic Preservation Act (NHPA) and Endangered Species Act requirements, and 3) a 29 CFR §1910.120-compliant site-specific HASP. Phase I/Phase II activities will start with the four priority sites, and additional Phase Is will be conducted based on the inventory review and stakeholder input including review of site industrial histories and lack of assessment data. Phase I/II and RBM surveys will be initially conducted at the 901 Broad Street site, and Phase IIs and RBMs at the Nexus Neighborhood, 119 Whitesboro, and 1712 Erie Boulevard sites due to historical site use and demonstrated or suspected contamination by metals, VOCs and/or asbestos. Site-Specific Cleanup plans and Analysis of Brownfield Cleanup Alternatives (ABCAs) will be prepared for up to four sites where contamination is confirmed and anticipated to be at the noted Priority Sites, starting with two plans at the Nexus Neighborhood, and a plan each for 901 Broad Street and 119 Whitesboro. All planning activities will be reviewed and approved by Utica and all subcontractors will be procured following grant and Utica requirements.

3.b Anticipated Project Schedule: Year 1: Master QAPP/HASP, 4 Phase Is, 1 RBM surveys, Year 2: 4 Phase Is, 2 RBM surveys, 3 Phase IIs, Year 3: 2 Phase Is, 1 Phase II, 1 RBM survey, 4 site specific Clean Up Plans/ABCAs; Year 4: Completion of any plans that are incomplete.

3.c Task/Activity Lead: QEP will complete all technical deliverables for this task (assessments, investigations, reporting, ABCAs) with oversight from Utica. Utica will oversee plans with support from QEP.

3.d Outputs: One master QAPP/HASP, 12 access agreements/EPA site approvals, 10 Phase Is, 4 Phase IIs, 4 RBMs, and 4 Site Specific Cleanup Plans/ABCAs.

3.e Cost Estimates: Project cost estimates are provided by task below. Utica will use less than 5% of grant funds for personnel/fringe costs to help administer the grant and will contribute their own resources to manage the activities described herein. Contractor costs are based on an average labor rate of \$170/hr. If unspent funds remain from any tasks, Coalition will re-allocate additional PII or Plans, depending on the results of the PI, PII and community input, focusing additional activities in each Target Area.

Task 1 – Project Management Reporting & Other Eligible Activities (\$44,440):

Personnel/Fringe Benefits: \$23,310; 222 hours x (\$79 + \$26 fringe benefits)/hour

Travel Total: \$4,090; 2027 National Brownfields Conference (Salt Lake City, UT): \$1,525 (\$1,525/person x 1 person), 2029 National Brownfields Conference (Location TBD): \$1,525 (\$1,525/person x 1 person), 2026 Regional/State Brownfields Conference (Location TBD): \$1,040 (\$1,040/person x 1 person)

Contractual Total: \$16,320; 48 monthly check-in meetings: \$8,160 (48 hours x \$170/hr. x 1 staff); Compliance Reporting: \$8,160 (48 hours x \$170/hr.)

Other Total: \$720; Conference Registration Fees: \$720 (\$240/person x 3 conferences x 1 staff Member)

Task 2 - Community Engagement Site Inventory/Prioritization (\$38,420):

Contractual Total: \$38,420; Utica & Stakeholder Meetings: \$27,200 (80 hours x \$170/hr. x 2 staff); Update Project Fact Sheets, Site Nomination Form & Webpage Content: \$4,760 (28 hours x \$170/hr.); Update inventory brownfield sites: \$6,460 (38 hours x \$170/hr.)

Task 3 – Phase I/II ESAs/RBM & Site Cleanup/Reuse Planning (\$417,140)

Contractual Total: \$417,140

Site Eligibility Requests: \$2,040 (12 hours x \$170/hr.); RBM Surveys: \$13,600 (4 sites@\$3,400ea.) Update Master QAPP/HASP: \$4,900 (1 x \$4,900/ea.); Cleanup/ABCAs: \$16,000 (4 sites@\$4,000ea.);Phase I ESAs: \$35,000 (10 sites@\$3,500/ea.); Phase II ESAs: \$345,600 (4 sites@\$86,400ea.); Plan activities as prescribed @ <https://www.epa.gov/brownfields/information-eligible-planning-activities>.

Budget Categories	Task 1:Project Mgt., Reporting & Other Eligible Activities	Task 2: Community Engagement & Site Inventory/Prioritization	Task 3: Phase I/II ESAs/RBM/& Cleanup/Reuse Planning	Total
Personnel	\$23,310	\$0	\$0	\$23,310
Fringe Benefits	\$0	\$0	\$0	\$0
Travel	\$4,090	\$0	\$0	\$4,090
Contractual	\$16,320	\$38,420	\$417,140	\$471,880
Other	\$720	\$0	\$0	\$720
Total Direct Costs	\$44,440	\$38,420	\$417,140	\$500,000
Indirect Costs	\$0	\$0	\$0	\$0
Total Budget	\$44,440	\$38,420	\$417,140	\$500,000

3.f Plan to Measure and Evaluate Environmental Progress and Results

Utica will set milestones and benchmarks, track, measure and report outputs (e.g., the number of completed Phase I and Phase II ESAs and public meetings) and outcomes (e.g., acres of land assessed; land remediated and redeveloped; number of jobs created or retained; tax revenue generated; redevelopment investment value; and other funding leveraged) in ACRES at project milestones (site investigation completed, cleanup/reuse planning initiated /completed). The actual outputs will be compared to the estimated number of outputs listed in Section 3.b. Utica will document outcomes/outputs that cannot be easily entered into ACRES (i.e., website updates, staff training, and community outreach/meetings) in quarterly reports. Utica will evaluate the project progress semi-annually and, if goals are not met, will discuss with the EPA Project Officer, local stakeholders and the QEP to discuss shortcomings and adjust the project approach. A project specific spreadsheet will be developed to include and track the outputs and associated milestones noted for activities within Tasks 1 through 3. The spreadsheet will be updated regularly and presented to stakeholders quarterly to ensure completion of the Project. Measurements will include tracking that at least 80% of the funding for site-specific activities is for distressed areas.

4 PROGRAMMATIC CAPABILITY AND PAST PERFORMANCE

Programmatic Capability

4.a Organizational Capacity, 4.b Organizational Structure, 4.c Description of Key Staff

The City will utilize the Department of Urban and Economic Development (DUED), a department within City government. DUED, which has six full-time experienced professional focusing on planning and zoning, economic development, and community development. DUED responsibilities include overseeing state and federal grants intended to improve the quality of life for the City’s residents and businesses. Due to DUED experience managing grants it has developed the organizational capacity to manage all programmatic, administrative, and financial requirements of the grant and has a robust and secure management system to track milestones, expenditures, and deadlines that are compliant with 2 CFR Part 200. Ms. Laura Cohen, Director of

Community Development, will serve as the primary manager of the grant and primary decision maker, and will oversee all financial matters for the grant. Ms. Cohen has 14 years of economic development experience. She has managed Utica's CDBG, ESG and HOME grants, and previously managed Mohawk Valley Economic Development and Growth Enterprise (MVEDGE) EPA Community-wide Assessment grant and EPA and Revolving Loan Fund. She has an understanding of brownfields, their impacts on residents, environmental concerns, and revitalization issues. Ms. Cohen will be assisted by:

- Mr. Chris Lawrence, Deputy Commissioner, will serve as assistant grant manager. Mr. Lawrence has 15 years' experience managing grants, most significantly CDBG, ESG, and HOME programs. Mr. Lawrence will serve as Financial Director, ensuring compliance with vendor acquisition policies and procedures, timely reporting, and payment application review and submission using the EPA ASAP system.
- Ms. Patti DeCarr, Senior Administrative Aide, will oversee Community Outreach including coordinating and conducting meetings and preparing materials. Ms. DeCarr has extensive knowledge of Utica's community groups, public engagement, BOAs, government and history.
- Mr. William M. Borrill, Esq., Utica Corporation Counsel, will provide legal assistance as requested, including the NYSDEC cleanup agreement and property transfers to site developers.

4.d Acquiring Additional Resources

Administration of grant activities will be fully undertaken by DUED. DUED has experience in the administration of grant funds at local, state, and federal levels as noted in 4.e. below. DUED intends to select qualified individuals and firms such as QEP, through a competitive process to assist with reporting, community participation, and completion of environmental assessments, remediation plans, and reuse plans. DUED will solicit and contract services through DUED's procurement process. DUED's Procurement Policies and Procedures also encourage the participation of local businesses and are posted on their website. Additionally, DUED has and will procure contractors in compliance with fair and open competition requirements noted in 2 CFR Part 200 & Part 1500.

Past Performance and Accomplishments

4.e Currently Has or Previously Received an EPA Brownfields Grant

Utica received a \$350,000 EPA Brownfield Community-wide Assessment Grant BP99290601 in September 1998 (end date of September 2005).

(1) Accomplishments: it was reported that activities completed under the Assessment Grant:

- Identified 53 properties as brownfield sites and ranked for assessment.
- Seven sites were assessed including seven Phase Is and three Phase II.

The assessment activities led to two cleanup projects at a cost of \$870,000 that leveraged 255 jobs and \$4,900,000 in redevelopment. \$5,770,630 in brownfield initiative funding was received from other sources. Information on these sites was reported in ACRES and is up to date. Utica was compliant with the workplan, schedule and terms and conditions of the EPA grant and demonstrated a history of timely and acceptable quarterly performance, grant deliverables and ongoing ACRES reporting.

(2) Compliance with Grant Requirements: During the administration of the grant, meetings were held at milestones by Utica officials and interested/invested parties to review progress and make recommendations. Upon conclusion, a review was completed to determine the overall success and/or areas requiring improvement. These reports were submitted to the awarding agency within the grant requirements. The reporting requirements within the grant (monthly and quarterly), were completed on time and submitted in the required report formats, including ACRES reporting. No corrective actions were required during the administration of the grants.

**City of Utica
Community-Wide Assessment Grant**

THRESHOLD CRITERIA RESPONSES

1. Applicant Eligibility

The applicant is a City.

a. Documentation of applicant eligibility if other than a city, county, state, or Tribe: e.g., resolutions, statutes, Intertribal Consortium documentation, or documentation of 501 (c)(3) tax-exempt status or qualified community development entity.

Not Applicable, (a City)

b. A Statement of 501 (c)(4) tax-exempt status and if applicable, legal opinion regarding lobbying activities.

Not Applicable, (a City)

2 Community Involvement

Utica will develop a written Community Involvement Plan to document and formalize the process to share information and seek public input to decision-making. Input will be sought on site selection, project planning, and cleanup/reuse planning. The public will be given a chance to submit suggested sites for assessment/investigation/reuse through community meeting participation. The community can participate in the prioritization process through planning charrettes and public meetings. The table below includes local organizations that will be included in the Community engagement and be involved in decisions with respect to roles in the Project.

Partner Name	Point of contact (name, email, phone)	Specific role in the project
East Utica Concerned Citizens	Lucretia Hunt, 315-732-1032	Community-based organizations are active in issues and concerns impacting East Utica. Will provide input on site cleanup and reuse.
Home Ownership Center	Danielle Smith, CEO 315-724-4197	Encourages home ownership with education, financially responsible and empowered individuals, to create safe, stable and prosperous neighborhoods. Conducts routine public meetings to educate sensitive populations on home ownership.

**City of Utica
Community-Wide Assessment Grant**

THRESHOLD CRITERIA RESPONSES

Partner Name	Point of contact (name, email, phone)	Specific role in the project
Utica	Micheal Galime, Mayor mayor@cityofutica.com 315-792-0193	Agent for property transfer for redevelopment and coordinator for future redevelopment efforts
Community Action Partnership (CAP)-WIC	Amy Turner, Director 315-624-9930	Social service agencies will represent and advocate for underserved residents. Liaison to relevant community organizations. Community outreach and engagement, focusing on public health and social justice. Public participation during redevelopment efforts.
Mohawk Valley Community Action Agency	Amy Turner, CCAP-Executive Director, aturner@mvcaa.com 315-624-9930	
The Community Foundation of Herkimer and Oneida Counties	Alicia Dicks adicks@foundationhoc.org 315-735-8212	
Workforce Development Board of Herkimer, Madison and Oneida County and Brownfield Training Grant	<u>Austen Johnson</u> ajohnson@working-solutions.org 315-207-6951	Participate in identification of EPA Brownfields Training Grant graduates to assist with project implementation.
Mohawk Valley Builders Exchange	Ben Heintz, VP 315-376-2441 ben.heintz@mvbe.com	Assist with identifying qualified developers to complete site development.
Mohawk Valley Regional Economic Dev. Council	Allison Nowak Allison.nowak@esd.ny.gov 315-793-2366	Coordinator for regional planning, support, and financial assistance for redevelopment through NYS CFA and RESTORE NY programs.
NYS Department of Environmental Conservation (NYSDEC)	Kelly Hale Kelly.Hale@dec.ny.gov 315-785-2511	Clean-up plan review for compliance w/standards, public outreach cleanup plan comments. Cleanup oversight, review/approval of cleanup final report.
NYS Department of Health	John Murphy, Deputy Dir. NYSDOH Regional Office 315-477-8142 jmurphy@doh.ny.gov	Review of cleanup for resident health protection. Oversight of community monitoring (particulates, VOCs) during cleanup.
Utica Industrial Development Agency (UIDA)	Jack Spaeth jspaeth@cityofutica.com 315-792-0193	Assist site developer with sales and property tax abatement for new construction projects. that create jobs within Utica

**City of Utica
Community-Wide Assessment Grant**

THRESHOLD CRITERIA RESPONSES

BOA Steering Committee	Brian Thomas, Commissioner Utica Urban Renewal and Eco Dev. bthomas@cityofutica.com	BOA Steering Committee, guiding the scope of the planning study. Heading planned redevelopment scenarios.
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Expenditure of Existing Grant Funds.

The applicant does not have a previous Community-wide Assessment Grant.

4. Contractors and Named Subrecipients

Discussion on contractors and named subrecipients, or an affirmative statement that a contractor has not been procured and a subrecipient has not been named.

No contractors and named subrecipients have been named.