

HERKIMER COUNTY  
NEW YORK

PERFORMANCE  
ASSESSMENT REPORT

PROGRAM INCOME

October 1, 2015 through September 30, 2016

October 2016

## Program Income Narrative

Herkimer County has been the recipient of two Small Cities grants awarded by the U. S. Department of Housing and Urban Development.

A 1997 grant of \$525,000 was used to assist the Northern Safety Company in the implementation of an economic development project that created 68 jobs. A Final Performance Assessment Report on this project was submitted and accepted by HUD in November 2003. The grant was closed in July 2004.

A 1999 grant of \$525,000 was used to assist the North Hudson Woodcraft Corporation in the implementation of an economic development project that created 32 jobs. A Final Performance Assessment report on this project was submitted and accepted by HUD in November 2003. The grant was closed in August 2004.

Both loans were fully repaid. The repayment of these two Small Cities grants/loans provided funding for additional "second generation" loans for economic development projects, which were identified in Performance Assessment Reports previously submitted. These revolving loan funds continue to allow for additional loans for local economic development projects.

In February 2005 HUD approved a request by the County to expend \$250,000 in program income to assist in the development of the Frankfort 5S South Business Park. This \$4.5 million project was also funded by a grant from the US Department of Commerce Economic Development Administration and County funds. In September 2008 HUD approved additional funding in the amount of \$100,000 in program income to assist in infrastructure development in Herkimer County business parks. The infrastructure project for the Frankfort 5S South Business Park has been completed.

The attached HUD Form 4052 summarizes activities funded with program income between October 1, 2015 and September 30, 2016. Program income received may be summarized as follows:

- Program income balance 10/1/2015 - \$610,268.23
- Program income received 10/1/15 – 9/30/16 including repayment of second generation loans – \$41,791.71
- Program disbursements 10/1/15 – 9/30/16 – \$7,613.04
- Total program income available – 9/30/16 – \$644,446.90

We saw less loan activity throughout the last year due to a slow-down in the local economy. Therefore no new loans were issued during the reporting period. The local economy is showing signs of improvement and we are seeing more interest in our loan programs. We expect to be making additional loans during the upcoming months.

# Narrative Requirements

## A. AFFIRMATIVE FAIR HOUSING EFFORTS

Herkimer County prepared a Fair Housing Plan in 1998 and has implemented elements of that plan during the reporting period. Actions taken include publication of fair housing notices and sending of letters to local banks and Realtors reminding them of fair housing responsibilities.

Homelessness in the County has not been a major problem. Several organizations in the County including the Little Falls Family YMCA provide shelter for people needing temporary housing.

## B. CITIZEN COMMENTS

The County has not received citizen comments involving second generation loans during the reporting period.

## C. PROGRAM ASSESSMENT

### 1. AMENDMENTS

The County requested and received HUD approval to utilize program income to help create the Frankfort 5S South Business Park. This project has progressed very well since its inception in the summer of 2005. The additional funding received from program income was critical to meeting the additional unbudgeted costs that arose throughout the infrastructure development. The first business, Heidelberg Group, Inc., recently opened their state-of-the art bread-making manufacturing business in the park.

### 2. LOAN ACTIVITIES

No new loan activity occurred during this reporting period.

A CDBG grant request for \$200,000 to set up a Microenterprise Grant Program for local small businesses was approved in 2010. A total of eleven (11) micro-businesses received assistance through this grant program. The grant has been fully utilized and has proven to be a tremendous asset to Herkimer County. Closeout has recently occurred.

In addition, we completed the administration of a CDBG grant for a local company, DeLorio Foods. This was a \$416,000 machinery, equipment and expansion project to assist with the retention of 130 jobs and creation another 45. This grant has been fully utilized and close out has occurred.

Administration continues on the Northern Safety Company \$310,000 expansion project to assist in the creation of 20 jobs. They are currently halfway through the project and we will continue to work with Northern Safety over the next year through completion.

### ***3. FUTURE CHANGES***

The County will continue to use State and Federal funds in concert with local funds to meet economic development needs to the extent feasible. Prior to 1997 such efforts were limited to a small 1987 grant that was used to assist the Phoenix Printing Company in Frankfort.

# FEDERAL CASH TRANSACTIONS REPORT

OMB APPROVAL NO. 0348-0003

(See instructions on the back. If report is for more than one grant or assistance agreement, attach completed Standard Form 272A.)

1. Federal sponsoring agency and organizational element to which this report is submitted

**2. RECIPIENT ORGANIZATION**

Name: County of Herkimer

Number and Street: 109 Mary Street

City, State and ZIP Code: Herkimer, NY 13350

4. Federal grant or other identification number

5. Recipient's account number or identifying number

6. Letter of credit number

7. Last payment voucher number

*Give total number for this period*

8. Payment Vouchers credited to your account

9. Treasury checks received (whether or not deposited)

**10. PERIOD COVERED BY THIS REPORT**

**3. FEDERAL EMPLOYER IDENTIFICATION NO.**

FROM (month, day, year)  
10/1/2015

TO (month, day, year)  
09/30/2016

**11. STATUS OF FEDERAL CASH**

(See specific instructions on the back)

a. Cash on hand beginning of reporting period	\$ 610,268.23
b. Letter of credit withdrawals	
c. Treasury check payments	
d. Total receipts (Sum of lines b and c)	0.00
e. Total cash available (Sum of lines a and d)	610,268.23
f. Gross disbursements	7,613.04
g. Federal share of program income	41,791.71
h. Net disbursements (Line f minus line g)	-34,178.67
i. Adjustments of prior periods	
j. Cash on hand end of period	\$ 644,446.90

**12. THE AMOUNT SHOWN ON LINE 11, ABOVE, REPRESENTS CASH REQUIREMENTS FOR THE ENSUING**

Days

**13. OTHER INFORMATION**

a. Interest income	\$
b. Advances to subgrantees or subcontractors	\$

**14. REMARKS** (Attach additional sheets of plain paper, if more space is required)

**15. CERTIFICATION**

I certify to the best of my knowledge and belief that this report is true in all respects and that all disbursements have been made for the purpose and conditions of the grant or agreement.

AUTHORIZED CERTIFYING OFFICIAL

SIGNATURE  


TYPED OR PRINTED NAME AND TITLE  
Bernard Peplinski, Chairman of Legislature

DATE REPORT SUBMITTED  
10/26/2016

TELEPHONE (Area Code, Number, Extension)  
315-867-1112

THIS SPACE FOR AGENCY USE

# Instructions for Completing the CDBG Small Cities Performance Assessment Report (PAR)

U.S. Department of Housing and Urban Development  
Office of Community Planning and Development

OMB Approval No. 2506-0020  
(exp. 06/30/2016)

Public reporting burden for this collection of information is estimated to average 8 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

The information is needed for the HUD-Administered Small Cities competition in New York. The program is operating on a competitive basis and the information is essential for the rating and ranking process. The Performance Assessment Report (PAR) provides information on the financial and physical development status of each activity funded. Section 113(b) of the Housing and Community Development Act of 1974, as amended, requires the Secretary to require recipients of CDBG assistance to submit such reports to determine grantee performance and for HUD's Annual Report to Congress on accomplishments. Information is used to rate and rank applications and determine performance under the grant agreement. There are no sensitive questions. Further, this collection does not include information on individuals and is considered public information. Collection of data to demonstrate compliance with CDBG program requirements is already covered by provisions of the Privacy Act.

The purpose of the Performance Assessment Report is to provide HUD with information on the financial and physical development status of each activity which has not been previously reported as completed in a performance report. It must also provide information for HUD to make an initial determination about how the program has complied with certain civil rights requirements.

This report is due no later than 12 months following grant award, and annually thereafter on the date of the award until completion of all CDBG-funded activities. A report is also due no later than 90 days following completion of all CDBG-funded activities, unless waived by the HUD Manager. The HUD Manager may waive this final report if, in his/her judgment, the previous report adequately describes the project results.

The report consists of Form HUD 4052 and a set of required narratives:

1. **Grantee.** Enter the name as shown on the cover sheet of the report.
2. **Grant number.** Enter the grant number assigned by HUD.
3. **Date.** Enter the submission date of the report.
4. **Reporting period.** Indicate the period covered by the report.
5. **Activity number.** Enter the number you assigned to the activity in your application.
6. **Name and location.** For each activity numbered in Column 5, list the name used in the application. Below each activity, provide the actual location of each physical development activity either carried out or being carried out in whole or in part with CDBG funds. The location should be described in specific terms by street address and by census tract, enumeration district, or by quadrant of the city where there is only one enumeration district.
7. **Accomplishments.** Describe the results of the expenditure of CDBG funds by providing clear measures such as: number of houses rehabilitated; length and diameter of new or improved water and sewer lines; including number of tap-ons and hook-up assistance; number of acres of parkland acquired; number of persons served by neighborhood health facilities; length of streets and sidewalks repaired; number of jobs created, etc. If there is any change from the application in terms of beneficiaries, scope or location of activities, be sure to indicate.
8. **Direct Benefit.** Fill in this column for direct benefit only. A direct benefit activity is one which requires the beneficiary to submit and application or complete a personal record as an integral part of receiving the benefit of the activity. Examples of direct benefit activities are: rehabilitation loan or grant, sewer tap-ons; relocation; public services; indicate the number of person benefiting by racial/ethnic group, and whether female headed household. For public services, indicate the number of persons benefiting, as above. Indicate the benefiting racial/ethnic group by using the letter for the appropriate definition from the list of definitions below.

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- e. **American Indian/Alaska Native.** A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.
- f. **American Indian/Alaskan Native and White**
- g. **American Indian/Alaskan Native and Black/African American**
- h. **Black/African American and White**
- i. **Asian and White**
- j. **Other**
- k. **Female headed households**
- l. **Ethnicity: Hispanic/Latino.** A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.

9. **National objectives.** Each activity must address at least one national objective, if the activity addresses the objective of benefit to low and moderate income persons, give the anticipated/actual percent of benefit to persons of low and moderate income. The final report must list the actual percent of benefit to persons of low and moderate income. For grants awarded in FY 84 and thereafter, not less than 51 percent of funds received must be used for activities that benefit low and moderate income persons.

For the remaining two objectives, indicate the national objective addressed by the activity. The following symbols may be used:

- L/M Low and moderate income
- % persons
- S/B Slums and blight
- U/N Urgent Need

10. **Schedule status.** Indicate by "yes" or "no" whether each activity on schedule. If a specific milestone is more than two months ahead or behind schedule, or if the anticipated completion date more than two months ahead or behind schedule, submit a revised Program Schedule Form HUD 4126.6. This requirement may be waived at the discretion of the HUD office, provided the HUD office believes that the change in schedule will have no adverse effect on the timely completion of the project.

11. **Budgeted amount.** Enter the current total budgeted amount of each activity numbered in Column 5. The total for this column should reflect the grant amount plus any program income.

12. **Funds expended.** For each activity, enter the total amount of funds actually expended as of the date of this report. Expenditures include the sum of actual cash disbursements, the amount of indirect expense incurred and the net amount owed by the grantee for goods and other property received or for services performed by employees, contractor, subgrantees,

and other payees. Reporting should be on an accrual basis. If the grantee's accounting records are not kept on an accrual basis, the grantee should develop such information through an analysis of the documentation on hand.

13. **Unliquidated obligations.** Enter the current amount of unliquidated obligations (in thousands of CDBG dollars) as of the end of this reporting period. Unliquidated obligations represent the amount of obligations incurred by the grantee for which an expenditure has not been recorded. Obligations are the amounts of orders placed, contract and grants awarded, services received and similar transactions during the reporting period that will require payment by the grantee during the same or a future period.

14. **Unobligated balance.** Enter the current unobligated balance (in thousands of CDBG dollars) as of the end of this reporting period. The unobligated balance is the amount of funds remaining after all expenditures and all unliquidated obligations have been subtracted from the total estimated cost of an activity.

15. **Program income.** If there is any program income earned or planned to be earned, check the box and attached a separate sheet describing:

- a. the source of program incomes;
- b. schedule of expected receipts; and
- c. the amount of funds.

16. **Narrative requirements.** On a separate sheet

a. **Affirmative Fair Housing.** Describe in narrative, the actions taken to affirmatively further fair housing. See 24 CFR 58.70.904(c).

b. **Citizen comments.** Summarize the comments, if any, received on the proposed PAR.

c. **Program assessment.**

i. **Amendments.** Give the approval date of any program amendments that required HUD approval. If you made any program changes that did not require HUD approval, describe the changes, and give the date the changes were implemented.

ii. **Program assessment.** In narrative form, assess the relationship of your program accomplishments to the objectives identified in your application. Include your evaluation of the extent to which funds were used for activities that benefited low and moderate income persons.

iii. **Future changes.** Given your experience with this program, indicate what changes, if any, you would make in any future program.

Name and Address of Grantee County of Herkimer 109 Mary Street Herkimer, NY 13350	Grant Number
Program Income	

The Grantee's authorized representative certifies that:

- a. To the best of his/her knowledge and belief the data in this report was true and accurate as of the date of the report.
- b. The records described in 24 CFR 570.506 are being maintained and will be made available upon request.
- c. Activities have been carried out in compliance with the certifications submitted with the application, and future activities, will be carried out in compliance with the certifications.

Typed Name and Title of authorized representative Bernard Papinski, Chairman, Herkimer County Legislature	Telephone Number 315-867-1112
Signature of authorized representative 	Date 10/25/2016

# CDBG Small Cities Performance Assessment Report (PAR)

U.S. Department of Housing and Urban Development  
Office of Community Planning and Development

OMB Approval No. 2506-0020  
(exp.6/30/2016)

1. Grantee County of Herkimer		2. Grant Number Program Income		3. Date 10/25/2016		4. Reporting Period From: 10/01/2015 To: 09/30/2016			
5. Activity Number	6. Name and Location	7. Accomplishments	8. Direct Benefit	9. National Objective	10. Schedule Status	11. Budgeted Amount (Thousands)	12. Funds Expended (Thousands)	13. Unliquidated Obligations (Thousands)	14. Unobligated Balance (Thousands)
1	Economic Development RLF	Prior loans Loans as follows: Precisionmatics (75,000) Gehring Tricot (150,000)	retain 48 jobs create 5 jobs retain 80 jobs create 10 jobs	L/M 100% L/M 100%	ongoing ongoing	\$644.44			\$644.44
2	HUD Interest payments	Payment made in January yearly				\$0.16	\$0.16	\$0.00	\$0.00
3	Administrative costs	IDA manages loan portfolio on all Herkimer County economic development projects				\$7.45	\$7.45	\$0.00	\$0.00
<b>Totals</b>						<b>\$ 6657.05</b>	<b>\$ 7.61</b>	<b>\$</b>	<b>\$ 6644.44</b>

Cumulative Program Income (See attached sheet)

Previous editions are obsolete.



File

# HERKIMER COUNTY Industrial Development Agency

420 E. German St., Suite 101A  
Herkimer, New York 13350  
Telephone: (315) 866-3000  
Fax: (315) 866-2976  
Website: [www.herkimercountyida.org](http://www.herkimercountyida.org)

October 26, 2016

STAFF

STEPHEN R. SMITH  
Executive Director  
  
STACEY J. HOLLERAN  
Financial Manager

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Director

Mr. William T. O'Connell, Director  
US Department of Housing and Urban Development  
Community Planning and Development  
Buffalo Office  
Lafayette Court  
465 Main Street  
Buffalo, New York 14203-1780

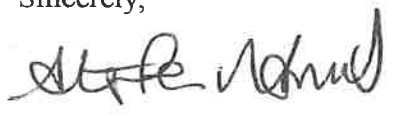
Re: County of Herkimer County  
Performance Assessment Report  
Cash Transactions Report  
Program Income

Dear Mr. O'Connell:

Enclosed please find a Performance Assessment Report and companion Cash Transactions Report covering program income received by Herkimer County between October 1, 2015 and September 30, 2016. This report is available to the public at the Herkimer County Industrial Development Agency website:  
[www.herkimercountyida.org](http://www.herkimercountyida.org).

If you have any questions please do not hesitate to contact me.

Sincerely,



Stephen R. Smith  
Executive Director

Enc.

cc: Vincent J. Bono, Chairman HCIDA  
Bernard Peplinski, Chairman, Herkimer County Legislature