

Annual Action Plan

for housing and community development

City of Middletown, Connecticut

PY 28
July, 2002

Community Development Division
Department of Planning, Conservation, & Development
City of Middletown, Connecticut
245 deKoven Drive
Middletown, Connecticut 06457
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TABLE OF CONTENTS

Executive Summary.....	Page 3
Citizens' Participation.....	Page 4
Amendments to Strategic Plan.....	Page 8
Fair Housing Narrative.....	Page 13
Gaps Analysis.....	Page 14
Annual Plan Narrative.....	Page 16
Listing of Proposed Projects (insert, begins):.....	Page 26
Geographic Distribution.....	Page 27
Conclusion.....	Page 28
Appendices	
A. Application for Federal Assistance.....	Page 29
B. Resolutions.....	Page 31
C. Certifications.....	Page 34
D. Map.....	Page 42

Executive Summary

The planning for PY28 (2002) hails some important transitions and new initiatives in Middletown's community development.

Among transitions, Middletown may list a more proactive approach utilizing the 5-year *Consolidated Plan* to attract appropriate funding proposals and adopting a whole new system of objective scoring criteria for reviewing funding applications.

New initiatives largely stem from a source of program income analyzed during last year's 24 CFR 570.900(a)(1) monitoring review. The decision regarding the local disposition of this income in accordance with our CDBG program allowed for the funding of four new initiatives, most notably decorative streetlights for Main Street and the demolition of a long-abandoned County Courthouse adjacent to city hall.

The PY28 entitlement funds have been divided between the shoring up and reinforcement of many of the city's core community development facilities, such as the Shepard Home transitional living shelter and the public library on the one hand, and identifying a handful of select community initiatives to give seed money, such as the Green Street Arts Center and Main Street accessible parking stalls.

The following Annual Action Plan discusses many of these items in more detail. Overall, it should show that Middletown continues to find new ways to utilize this vital federal resource.

Citizens' Participation

The 2002 Annual Action Plan was available for a 30-day period of public review and comment from 17 June 2002, to 17 July 2002. Public notice inviting public review and comment was given in the Middletown Press and the Hartford Courant. Nobody responded to these notices.

On 17 July 2002, the plan went before the Citizens' Advisory Committee's regular meeting for members' review and comment and a public hearing. No criticisms or suggestions for revision were made by either members of the Committee or members of the public, and the plan was approved for submission to the US Department of Housing and Urban Development (HUD).

The following pages document the City's steps in this Citizens' Participation process.

Legal Notice

City of Middletown, Connecticut
10-January-02

Pursuant to the City of Middletown's Citizen Participation Plan and the regulations of the U.S. Department of Housing and Urban Development, the Citizens Advisory Committee will hold a public hearing to provide citizens and citizen organizations with an opportunity to comment on the use of \$386,000 of program income under the City's Community Development Block Grant (CDBG) entitlement program. Proposals for use of the funds include:

- 1) Demolition of the Middlesex County Court House on deKoven Drive.
- 2) Purchase and installation of decorative street lights on Main Street.

Expenditure of these funds will be a Substantial Amendment to the Consolidated Plan, and, pursuant to 24CFR91 and 24CFR570, will be subject to the following: a public hearing, written or oral public comments, consideration of said comments and approval of the Citizens Advisory Committee, subsequent approval by the Common Council, and notification of the US Department of Housing and Urban Development via a letter signed and transmitted by the Mayor.

The public hearing will be held on Wednesday, October 17, 2001 at 5:00 p.m. in the Municipal Building, Room 208.

Linda Wallace, Chair
Citizens Advisory Committee

To appear in the Middletown Press and Hartford Courant

Friday, October 5th, 2001

Legal Notice

City of Middletown, Connecticut
10-January-02

Pursuant to the City of Middletown's Citizen Participation Plan and the regulations of the U.S. Department of Housing and Urban Development, the Citizens Advisory Committee will hold a public hearing to provide citizens and citizen organizations with an opportunity to comment on the use of \$663,261.00 anticipated to be available under the City's Community Development Block Grant (CDBG) entitlement program.

The City of Middletown has been notified that its entitlement grant allocation for 2002 will be \$570,000.00. Added to this sum is expected \$13,000.00 of reprogrammed funds, and \$80,261.00 of CDBG Program Income.

The city is interested in proposals for projects pursuant to the goals and strategies outlined in the city's 5-year *Consolidated Plan for Housing & Community Development*, an outline of which will be included in the grant application. The City of Middletown will accept applications for any project which either demonstrates a public benefit, fulfills an objective of the *Consolidated Plan*, or is otherwise consistent with CDBG program guidelines.

This hearing will be held on Wednesday, March 20th at 5:00 p.m. in the Police Department Community Room. The Citizens Advisory Committee has established certain requirements for sub-grantees (organizations who would like to receive program funds) of the City of Middletown. Therefore, persons and organizations interested in submitting funding requests and/or commenting on the use of funds should obtain applications which are available at the Department of Planning, Conservation and Development, Room 202 of the Municipal Building, 245 deKoven Drive, in Middletown.

**Completed funding requests should be returned to the Community Development Division
of the Department of Planning, Conservation and Development
no later than 10 AM on Friday, February 15, 2002.**

Linda Wallace, Chair
Citizens Advisory Committee

To appear in the Middletown Press and Hartford Courant on
January 11, 2002 and January 18, 2002.

Legal Notice

City of Middletown, Connecticut
5-July-02

The City of Middletown is preparing to submit to the U.S. Department of Housing & Urban Development (HUD) its Annual Plan for the use of Community Development Block Grant funds. The Draft Annual Plan has been available for public review since June 17th, 2002. Public notice is hereby given of a public hearing for the Annual Plan at the regular meeting of the Citizens Advisory Committee, scheduled for July 17th, 2002 at the Municipal Building, Room 208. Public comments heard at this meeting will be integrated into the final document before submission to HUD. In accordance with the provisions of 24 CFR 91.105(c)(2), written comments on the plan are also being accepted at the Department of Planning, Conservation and Development through July 17, 2002. Comments should be addressed to Department of Planning, Conservation and Development; Municipal Building; 245 deKoven Drive; Middletown, CT; 06457.

Munro Johnson
Community Development Specialist
Department of Planning, Conservation, and Development

2001 Amendments to Strategic Plan

*City of Middletown Consolidated Plan for Housing and Community Development
September 1, 2000 to August 31, 2005*

Section 108 Loans

Chapter IV., "Housing and Community Development Strategic Plan," of *The City of Middletown Consolidated Plan for Housing & Community Development September 1, 2000 to August 31, 2005* (Con Plan) has been amended to include two Section 108 Loans the city has applied for from HUD. Each proposed 108 loan application addresses projects already contained in the Con Plan; only the decision to use 108 Loans to realize these projects differs from the original version.

570.704 Requirements

The first Section 108 Loan pertains to the city's long-standing endeavor to eliminate the **Miller Bridge** neighborhood and the concentrated conditions of poverty and social pathologies that pervade it.

National Community Development Objective

Benefits Low- and Moderate-Income individuals directly.

Activities to be undertaken

Acquisition of Real Property [24 CFR 570.703(a)], Demolition and Clearance [24 CFR 570.703(e)].

Program income expected: \$0.00

Guaranteed loan funds to be used: \$250,000.

The second loan pertains to the city's long-term campaign to bring to its downtown a **full-service hotel** at 56 Main Street, putting to use a long-vacant yet historic building and bringing to this low income census tract new life, jobs, and tourism dollars.

National Objective: Benefits Low- and Moderate-Income individuals by creating permanent jobs, at least 51% of which will be made available to or held by low- and moderate-income persons.

Activities to be undertaken: Acquisition of Real Property [24 CFR 570.703(a)], Demolition and Clearance [24 CFR 570.703(e)].

Program income expected: \$0.00

Guaranteed loan funds to be used: \$400,000.

Text Amendments

page 50
Priority Non-Housing Community Development Needs
Elimination of Blight

Include:

A neighborhood where blight prevails universally is the Miller Bridge neighborhood. This neighborhood has been condemned. In the city's *Miller & Bridge St. Redevelopment Plan* (Redevelopment Plan), all properties located there are scheduled for demolition, current owners fairly compensated, and residents relocated in accordance with uniform relocation procedures.

In order that progress implementing the Redevelopment Plan not be delayed, the city shall apply for a Section 108 Loan from HUD, in order to facilitate the acquisition and relocation activities.

page 54
Increasing Employment Opportunities through Economic Development
Miller and Bridge Redevelopment Plan

Replace:

"CDBG funding for demolition..." with "Section 108 Loan funding for demolition..."

page 55
Additional Economic Development
Downtown Development

Replace: "...which is being reviewed by several hotel developers." with "which has successfully attracted a hotel developer and occasioned a broad public-private partnership to finance the project. The city will apply for a Section 108 Loan from HUD in order to finance the site acquisition."

Replace: "The proposed creation of a Business Improvement District (BID) was recently voted down by the Common Council, however..." with "The proposed creation of a Business Improvement District (BID) was recently approved by the district's property owners and established."

page 69
III. Community Development Objectives
Community Development Goal A: Economic Development
Community Development Objective A.1:
Community Development Strategy A.1.C:

Add: "Collaborate with other stakeholders in the Hotel development plan, acquiring the necessary property with a Section 108 Loan."

2002 Amendments to Strategic Plan

*City of Middletown Consolidated Plan for Housing and Community Development
September 1, 2000 to August 31, 2005*

Section 108 Loan

Chapter IV., "Housing and Community Development Strategic Plan," of *The City of Middletown Consolidated Plan for Housing & Community Development September 1, 2000 to August 31, 2005* (Con Plan) was amended last year to include two Section 108 Loans the city was applying for from HUD. Each proposed 108 loan application addressed projects already contained in the Con Plan; only the decision to use 108 Loans to realize these projects differed from the original version.

Since last year, the City of Middletown filed the first of these applications, and is awaiting to hear if the application was approved. The City of Middletown decided not to pursue the second of these which had been intended to assist in the development of a full-service hotel, although other funding was found and the project itself is moving forward.

Thus, last year's amendments to the Strategic Plan pertinent to this activity are hereby cancelled, returning those sections of the Strategic Plan to their original state.

Program Amendments

Under provisions for "Program Amendments" in its Citizen Participation Plan, Middletown reprogrammed \$447,350 of its program income this year on four projects, two of which constitute "Substantial Amendments" to its Consolidated Plan.

These funds surfaced during a 570.900(a)(1) on-site monitoring review at which time a Finding was made that the City's revolving loan fund's cash balance was not held in a separate account from which interest could be calculated, extracted, and transmitted to HUD in accordance with 570.500(b).¹ As a result of the finding and subsequent correspondence, HUD and the City of Middletown agreed that, during the several-year period of this oversight, the City of Middletown consistently used all funds in accordance

¹ Mary Ellen Morgan, Director CPD, letter to Domenique S. Thornton, Mayor City of Middletown, 28 June 2001.

with CDBG national objectives and eligible activities, but would henceforth establish a separate account and transmit interest to HUD annually.²

The four projects were:

- 1) The purchase of decorative streetlights for Middletown's Main Street
- 2) The demolition of the Middlesex County Courthouse
- 3) The replacement of a fence for the Old Washington Street Burying Ground
- 4) The institution of a Job Counseling program at the Middletown Youth Center

The budget allocations for the first two of these projects each exceeds 10% of the current program year grant, and, in accordance with the City of Middletown's Citizen Participation Plan, are therefore designated "Substantial Amendments," and require a public hearing, approval by the Citizens' Advisory Committee and Common Council, and a transmittal letter to HUD from the Mayor (included with the certifications in this Annual Plan).

The Strategic Plan is hereby amended accordingly.

page 50

Priority Non-Housing Community Development Needs
Elimination of Blight

Insert: "The demolition of the vacant Middlesex County Courthouse for reuse as a neighborhood park would eliminate a developing blight in the core of the downtown, in an area much in need of green space." as a new paragraph between third and fourth full paragraphs on the page.

page 73

Community Development Goal B
Community Development Objective B.1

Replace the word "residential development plans in downtown areas" with "neighborhood development plans in downtown areas."

page 54

Additional Economic Development
Downtown Development

Insert: "The replacement of Main Street's streetlights with more aesthetic period fixtures is a step that may be taken to pursue this goal." after the second sentence, in the last paragraph.

² Dominique S. Thornton, Mayor City of Middletown, letter to Mary Ellen Morgan, Director CPD, 30 July, 2001. Mary Ellen Morgan, Director CPD, letter to Dominique S. Thornton, Mayor City of Middletown, 18 January 2002.

page 69

Community Development Strategy A.1.C:

Insert: "decorative, period streetlights," after the word "including" in line three, first full paragraph on the page.

page 51

Priority Non-housing Community Development Needs
Fundamental Skills Training

Insert: "Instilling these skills in our youth before they encounter employment problems could be a valuable activity at local Youth Centers in Middletown." after the first sentence of the second paragraph.

page 79

Community Development Strategy E.2.A

Insert: ", including worker preparation job counseling." at the end of the first sentence on the page.

page 55

Additional Economic Development
Downtown Development

Insert: "The repair or replacement of the dilapidated fence around Old Washington Street Burial Ground would protect that historic districts character." in front of the first full sentence on the page.

page 73

Community Development Objective B.1:

Change sentence to: "Continue to provide funding for the removal, replacement, or upgrade of blighted structures in low- and very low-income neighborhoods in conjunction with current plans for the improvement of downtown areas."

Fair Housing Narrative

In order to overcome issues identified in the Analysis of Impediments in the City's Fair Housing Plan, the following activities have been funded through its 2002 Entitlement Program:

Affordable Housing and Financing:

- Funding for physical improvements to St. Luke's Home for the Elderly will ensure the continued viability of these downtown, affordable housing units.
- Funding for physical improvements to affordable housing units owned by Equity in Housing will ensure their continued viability.
- Funding for physical improvements to Mercy Housing's Shepherd Home will ensure the continued viability of this homeless shelter.
- Chamber of Commerce/Worker Preparation Program, Middletown Youth Center/Job Center, Positive Solutions/Employment Training and the Community College's LPN Program will train people for gainful employment opportunities in order to have an income to afford decent, safe and healthy housing.
- The City continues to fund its Residential Rehabilitation Loan Program through its Revolving Fund.
- The City continues to provide funds for its JOBS Loan Program through its Revolving Fund.
- The City continues to support its Down Payment and Closing Cost Assistance Program to low/moderate income persons through its Revolving Fund.

Lack of Education about Fair Housing Laws, Rights and Responsibilities:

- In collaboration with a neighborhood group called the North End Action Team, the Middletown Redevelopment Agency recently adopted a revised Redevelopment Plan for its North End. The Community Organizer for the North End Action Team will be able to advise the residents of this low/moderate income area (Census Tract 5416) on various education programs for fair housing, and help them become aware of the laws, rights and responsibilities for fair housing.

Gaps Analysis

The following table summarizes Middletown's Gaps Analysis as of March 2002, for Individuals, and for Persons in Families with Children. Issues of homelessness and other gaps identified in the Continuum of Care continue to be addressed through a community-wide Supportive Housing Coalition in the city.

Gaps Analysis

Table 1

Continuum of Care: Gaps Analysis

		Estimated Need	Current Inventory	Unmet need/ Gap
Individuals				
Example	Emergency Shelter	115	89	26
Beds	Emergency Shelter	30	34	0
	Transitional Housing	74	72	2
	Permanent Supportive Housing	75	74	1
	Total	179	180	0*
Supportive Services Slots (This section is OPTIONAL)	Job Training	104	40	64
	Case Management	104	60	44
	Substance Abuse Treatment	71	20	51
	Mental Health Care	81	60	21
	Housing Placement	119	48	71
	Life Skills Training	56	70	0
	Other – legal services	29	0	29
	Other – transportation	90	20	70
Sub-populations	Chronic Substance Abuse	74	20	54
	Seriously Mentally Ill	29	20	9
	Dually-Diagnosed	65	0	65
	Veterans	7	0	7
	Persons with HIV/AIDS	3	3	0
	Victims of Domestic Violence	7	7	0
	Youth	6	0	6
	Other	0	0	0
Persons in Families With Children				
Beds	Emergency Shelter	75	49	26
	Transitional Housing	150	45	105
	Permanent Supportive Housing	113	30	83
	Total	338	124	214
Supportive Services Slots (This Section is OPTIONAL)	Job Training	52	40	12
	Case Management	63	30	33
	Child Care	68	30	38
	Substance Abuse Treatment	52	18	34
	Mental Health Care	32	16	16
	Housing Placement	93	40	53
	Life Skills Training	37	40	0
	Other – legal services	19	0	19
	Other – transportation	52	10	42
Sub-Populations	Chronic Substance Abuse	40	10	30
	Seriously Mentally Ill	4	0	4
	Dually-Diagnosed	23	0	23
	Veterans	2	0	2
	Persons with HIV/AIDS	0	0	0
	Victims of Domestic Violence	13	7	6
	Other	0	0	0

Annual Plan Narrative

Housing and Community Development Resources

For Program Year (PY)* 28, the City of Middletown has made funds available in the amount of \$1,097,611 for its US Department of Housing and Urban Development (HUD) Community Development Block Grant (CDBG) Programs. These funds include: \$570,000.00 of 2002 Entitlement money; \$22,000 of reprogrammed and adjusted funds, and \$527,611 of reallocated program income (see Table 2).

In accordance with Chapter 24, Sections 570.503(b) and 570.504(b) of the Code of Federal Regulations (24 CFR §570.503(b) and 24 CFR §570.504 (b)), existing CDBG allocations found to be left over, improperly, tardily, or insufficiently used were used to increase the total funding opportunities available for the new Program Year. Middletown's Kidcity Children's Museum, a former recipient of CDBG funds when it was first established, has become a successful downtown asset and is now expanding. Using reprogrammed funds, some of which were previously allocated to Kidcity (for what proved to be an ultimately infeasible third floor construction project), and the rest of which were previously allocated to I Have a Friend Youth Center (who was found to be in violation of 570.200(j)), Kidcity will relocate a business on their adjacent parcel which they acquired for an expansion of their current facilities.

◆ Reprogrammed - Source Projects

Kidcity / Fire Safety

I Have A Friend Youth Center / IHAFYC

To keep up with their popular community reception, Kidcity set out to reconfigure and create access to their third floor for more exhibits and play space for children. Due to various code-associated issues, third floor expansion was deemed to be infeasible and the funds reprogrammed accordingly.

During a 570.900(a)(1) on-site limited monitoring review in May of 2001, monitors determined with information provided by the Community Development Specialist that subrecipients I Have A Friend Youth Center were in violation of 570.200(j). After failure to come into compliance, their money has also been reprogrammed.

◆ Reprogrammed - Destination Project

Kidcity / Relocation

The Kidcity Children's Museum, since its establishment in 1997 with CDBG assistance, has been an enormous success for the city, with annual attendance rates increasing by tens of thousands each year. Last year, Kidcity was granted CDBG

* Middletown's 28th Program Year extends from September 1, 2002 to August 31, 2003.

monies to acquire one of two possible adjacent lots. The lot acquired had an existing tenant on the property, triggering federal relocation law, and the need for additional funding for relocation. Reprogrammed funds will be used for this purpose.

In accordance with the Citizens Participation Plan, the Citizens Advisory Committee held a public hearing on March 20, 2002 at which time twenty-seven (27) presentations were made for funding. The public hearing was preceded by legal advertisements placed in the local press on January 11, 2002, January 18, 2002, and March 12, 2002. Following receipt of the various funding requests on February 16, 2002 the applications were sent to the Citizens Advisory Committee for their review. After the public hearing, the Citizens Advisory Committee met again on April 18, 2002 to discuss the applications and made their recommendations for funding. The Common Council, at its May 6, 2002 meeting, voted to approve all the recommendations of the Citizens Advisory Committee.

The remainder of this Narrative catalogues this year's recipients of CDBG allocations, by selected activity type.

Table 2: *City of Middletown CDBG Program's PY 28 Funding*

REPROGRAMMED FUNDS AND ADJUSTMENTS

Item	Name	Action	Amount	PY
389-489- 130	Kid City / Fire Safety	Reprogram	\$ 13,000.00	26
399-484- 134	I Have a Friend / Youth Center	Decrease	\$ (9,000.00)	27
399-484- 134	Kid City / Relocation	Increase	\$ 9,000.00	27
TOTAL REPROGRAMMED:			\$ 22,000.00	

REALLOCATED PROGRAM INCOME

Item	Name	Amount
396-496- 185	Courthouse Demolition	\$ 170,000.00
396-496- 186	Streetlights	\$ 216,000.00
396-496- 187	Fence Improvements	\$ 36,350.00
396-496- 188	Job Center	\$ 25,000.00
TOTAL REALLOC. INCOME:		\$ 447,350.00

PROGRAM INCOME (Revolving Fund)

Item	Name	Amount
396-496- 180	Residential Rehabilitation Loan Program	\$ 18,544.00
396-496- 153	Down Payment Assistance Program	\$ 5,565.00
396-496- 179	JOBS Loan Program	\$ 56,152.00
TOTAL PROGRAM INCOME:		\$ 80,261.00

All program income falls under 570.500(b) and will be used only for those activities which generated it.

2002 (PY28) ENTITLEMENT FUNDS

Item	Name	Activity	Amount
397-566- 100	Oddfellows	Window Replacement	\$ 25,000.00
397-566- 101	Business Indust. Found. of Mdlx.	Worker Prep Program	\$ 20,000.00
397-566- 102	The Connection, Inc.	Middletown Youth Center	\$ 13,000.00
397-566- 103	St. Lukes	Physical Improvements	\$ 40,000.00
397-566- 104	NEAT	Community Organizer	\$ 5,000.00
397-566- 105	Board of Education	School Readiness	\$ 25,000.00
397-566- 106	Positive Solutions	Job Creation	\$ 8,000.00
397-566- 107	Mercy Housing	Shepherd Home's Future	\$ 10,000.00
397-566- 108	Middlesex Community College	LPN Training	\$ 24,000.00
397-566- 109	Dept. PCD	Streetscape Plan	\$ 65,000.00
397-566- 111	Dept. PCD	Administration	\$ 112,000.00
397-566- 112	Equity in Housing	Rehabilitation Project	\$ 13,000.00
397-566- 113	Middletown Housing Authority	Senior Center Renovation	\$ 20,000.00
397-566- 114	Russell Library	Phase III Renovations	\$ 25,000.00
397-566- 116	Wesleyan University	Green Street Arts Center	\$ 100,000.00
397-566- 117	Middletown Little League	ADA Press Box	\$ 15,000.00
397-566- 118	Office of ADA Coordinator	Main Street ADA Parking	\$ 10,000.00
397-566- 119	Gilead Community Services	Expansion Project	\$ 20,000.00
397-566- 120	Kuhn Employment Services	Mobile Work Crew	\$ 20,000.00
TOTAL ENT. FUNDS:			\$ 570,000.00
TOTAL PY28 BUDGET:			\$ 1,119,611.00

The community continues to focus on its concern over **jobs, youth development, and the redevelopment, renovation, and rebuilding** of the physical city. Dealing effectively with these concerns are the main objectives of this Annual Action Plan. This year's recipients have been selected in accordance with these objectives and are listed below in those three basic categories. The Proposed Projects Section of this Plan includes quantitative assessments of each activity's objectives, anticipated accomplishments, and client base.

The following pages list the recipients of Middletown's 2002 CDBG allocations and outlines their projects with summaries and/or excerpts of those recipients' project proposals.

Since CDBG funds are federal money, their use must meet federally designated standards, including national objectives and eligibility criteria. National objective and eligibility type is listed in the Proposed Projects for each project.

JOBS

- ◆ Business and Industry Foundation of Middlesex County / Worker Preparation & Enhancement Program

Project Summary: Work with the participants and assist them in attaining full time employment as well as enhancing the employment of current and/or former AFDC, welfare recipients and long term unemployed individuals.

Community Benefit: In Middletown's *Five Year Consolidated Plan for Housing and Community Development*, Employment Training and Job Identification were identified as top priorities in the "Gaps Analysis." Providing job training to that portion of the City's population that has not found adequate employment, increases the chances that those individuals will find jobs. This narrows a widening gap between Middletown's rich and poor, benefits the economy, decreases the burden on social services, reduces crime, and often preempts the slide of members of at-risk populations into homelessness, welfare, poor self-image, and a host of other social maladies. This project will continue the business of providing realistic hope for the longer-term unemployed.

- ◆ Middlesex Community College / LPN Evening Program

Program Summary: Provides evening Licensed Practical Nurse training to low- and moderate-income Middletown residents. Second year of a two year pilot. Offers a career ladder transition to an RN Program anticipated within two years. Recruitment and placement activities are conducted by Middletown community based organizations, including the North End Action Team.

Community Benefit: Addresses a key shortage and priority need addressed in the *Consolidated Plan*. Middletown is experiencing a severe nurse shortage as a local nursing program at a local hospital recently closed.

◆ Kuhn Employment / Mobile Work Crew

Project Summary: Provides, in conjunction with the Middletown Parks & Recreation Department, the opportunity for five disabled individuals to become gainfully employed by providing the City of Middletown with litter cleanup and beautification services.

Community Benefit: This program also provides economically disadvantaged, low/moderate income Middletown residents special employment opportunities.

◆ Positive Solutions, Inc. / Employment Training and Development

Project Summary: Provides employment training, experience, and employment itself for residents of Middletown who are recovering from the combined effects of HIV / AIDS and chronic economic disadvantage.

Community Benefit: Often due to the effects and costs of the disease itself, many of the approximately 145 Middletown residents currently living with HIV / AIDS are economically disadvantaged, experience difficulty obtaining work, and draw heavily on the public and private social services of the jurisdiction. This program addresses in a comprehensive manner each and all of these concerns by shepherding this special population into positions of gainful employment, which, in turn has a wholly positive effect on their health and over all well-being.

YOUTH DEVELOPMENT

◆ Board of Education / School Readiness

Program Summary: Secures the Coordinator position for the city's School Readiness program.

Community Benefit: Program provides high quality preschool and child care services to low- and moderate-income 3- and 4-year-olds.

REBUILDING

◆ Russell Library / Building Renovations Phase III

Project Summary: Renovate for handicapped accessibility public restroom on 1st floor.

Community Benefit: The Russell Library is the city's primary public library and is located in low/mod census tract 5416. It serves a largely low- to moderate-income population, especially children who come after school for story time. The library has demonstrated not only its importance to the city as a whole, but is special benefit to low- and moderate-income persons through user surveys. These target groups will directly benefit from this renovation work.

◆ Oddfellows Playhouse / Window Replacement

Project Summary: Energy efficiency initiative to save the playhouse on costly energy bills and protect a historic downtown facility.

Community Benefit: Located in a low- and moderate-income census tract (5416), and deliberately serving children from low-income backgrounds, the savings will allow the Playhouse to devote more of its precious resources to programming while preserving a historic building in the city's downtown.

◆ Middletown DPCD / Streetscape Plan

Project Summary: Combines, integrates, and coordinates several ongoing initiatives to enhance Middletown's Main Street, by developing Construction Drawings of the concepts already developed by the community.

Community Benefit: Located in Middletown's lowest income census tract, Main Street is the primary commercial center serving the city's low-income population, both in terms of jobs, and services. Enhancing the downtown will enhance the economic prospects for all who live and work there.

◆ Middletown Housing Authority / Senior Center

Project Summary: Funds the repair of windows and doors in the center which leak and cause slipping hazards.

Community Benefit: The Senior Center serves a primarily low-income population on fixed incomes.

◆ The Connection, Inc. / Middletown Youth Center

Project Summary: Creates a curb-cut for dropping off children at the Youth Center, and a canopy for children waiting to be picked up.

Community Benefit: The Youth Center is located in Middletown's poorest census tract (5416), and serves a predominantly low-income clientele.

◆ St. Lukes Home for the Elderly / ADA Ramp

Project Summary: Upgrade facility's HVAC system, create an ADA access ramp, and install automatic door openers at the front and rear of the facility.

Community Benefit: Maintains and improves an important HUD-sponsored housing facility for the elderly in Middletown's low-income downtown census tract.

◆ Mercy Housing / Shepard's Home

Project Summary: Upgrades restroom facilities in this important homeless shelter by replacing inoperative fixtures, and fixing leaky floors and ceiling.

Community Benefit: The basic viability of this homeless shelter is in question because of the unsanitary state of the old, broken-down bathrooms. Fixing them maintains the shelter as a viable facility.

◆ Equity in Housing / Rehabilitation

Project Summary: Facility upgrades at three multi-family, affordable housing structures owned and operated by Equity in Housing.

Community Benefit: Protects from fire hazards unique homeownership properties for low-income residents in Middletown.

◆ Wesleyan University / Green Street Arts Center

Project Summary: Adaptive reuse of a former elementary school in the city's north end as an arts center, complementing other arts-oriented activities underway in the same revitalization area.

Community Benefit: In the poorest section of the poorest census tract in the city, this initiative leverages the considerable resources of Wesleyan University to bring to life this historic building and provide sliding-scale arts instruction and after-school programs for neighborhood children.

◆ Middletown Little League / ADA Press Box

Project Summary: Provides accessible press boxes for Middletown's main Little League baseball field.

Community Benefit: Allows press staff with disabilities to cover Middletown Little League games in compliance with ADA codes.

◆ Office of ADA Coordinator / Main Street ADA Parking

Project Summary: Implement planned curb cuts and designation of handicap parking spaces on Main Street.

Community Benefit: Makes Main Street more wheelchair-friendly by providing better-planned designated parking spaces, and corresponding sidewalk curb-cuts.

◆ Gilead Community Services / Expansion Project

Project Summary: Upgrade AC system at Gilead.

Community Benefit: Provides updated climate control for persons at Gilead, which provides housing and case management for the severely mentally ill who are often sensitive to unregulated temperature changes.

GENERAL PROGRAM ADMINISTRATION

◆ City Department of Planning, Conservation, & Development / Program Administration

Program Summary: Administration of the Community Development Block Grant (CDBG) Program by the Community Development Division of the Department of Planning, Conservation, & Development.

Community Benefit: Coordinates, facilitates, and oversees all other CDBG entitlements in the City of Middletown.

◆ North End Action Team (NEAT) / Community Organizer

Project Summary: Continues the current part-time community organizer position and covers basic administrative costs of the North End Action Team, a grass-roots community group leading revitalization efforts in the Middletown's North End.

Community Benefit: Since its inception in 1997, NEAT has been consistent and skilled in its grass-roots campaign to develop a plan to revitalize their troubled, low-income neighborhood. Their efforts have won the recognition of the larger community and recent approval of the Redevelopment Agency, and spread a growing sense of hope throughout the City that, at last, something positive will transform the North End.

Homeless and Other Special Needs

Through the funding of Equity in Housing and St. Luke's Home for the Elderly, the city continues to allocate its CDBG resources to institutions that make housing possible for persons who otherwise could be homeless. This year, Middletown also funded Mercy Housing and its Shepherd Home, a successful transitional housing facility. The City continues its commitment to provide the necessary resources to enable established City agencies in their goal of assisting the less fortunate in seeking housing opportunities.

Anti Poverty Strategy

The City of Middletown takes to heart the old adage “Give a man a fish, you feed him for a day; teach a man to fish, you feed him for a lifetime.” The City-funded homeless and transitional shelters and food pantries maintain close case-management with their clients, and are also maintaining close contact and coordination with other supportive agencies to help Middletown’s poor and disadvantaged make the transition into less desperate circumstances.

A key step in that transition is finding – and keeping – gainful employment, a key element in any anti-poverty strategy, and a large component of this Plan as outlined in the 2002 CDBG Housing and Community Development Resources section.

Other Actions

The city's popular affordable housing program, the Down Payment and Cost Assistance Loan Program has been entrusted to Liberty Bank for administration and loan servicing. Demand for this program continues to be very high, and the city expects the substantial capacity and resources of the bank to result in placing 12 or more new low- and moderate-income homeowners in the city per year. Extensive staff training in the new lead paint hazard regulation, and verification of the adequacy of lead resources in the community has ensured the communities capacity to effectively address lead issues.

Monitoring

The City will assure that all affordable housing activities will further fair housing and comply with the federal displacement and relocation regulations, and with federal regulations concerning housing quality standards, lead-based paint, Davis-Bacon wages, and environmental reviews.

Through periodically-scheduled review meetings, the City will monitor its progress towards the goals set in the Consolidated Plan and the Annual Plan update to insure that all statutory and federal regulatory requirements are being met. The City will meet with its subrecipients to inquire into the use of CDBG funds as approved in this Annual Action Plan.

Collaboration with Local Housing Authority

The Middletown Housing Authority (MHA) and the City of Middletown Community Development Division (CDD) have collaborated this year again on funding renovations to the Middletown Senior Center, a facility located in the same building as the offices of the Housing Authority.

Closer contact between the MHA and CDD has resulted in a more seamless "continuum of care," with respect to housing issues. Inquiries to the CDD about housing for persons of extremely low income are efficiently relayed to the Public Housing and Section 8 offices of the MHA, and MHA clients which become ready to buy their own house are routinely referred to the CDD for our Down Payment Assistance program.

Listing of Proposed Projects



PY28ListofPropos.xls

Geographic Distribution

As evidenced in Appendix D, the geographic distribution of its CDBG resources reflects the city's continued focus on community development in the downtown and the North End. This area of the city continues to host the majority of Middletown's low-income population as well as many of the social services that this population utilizes.

The map at the back of the Plan shows Middletown census tracts and the locations of PY28 grant allocations. Each symbol represents one allocation. Bigger symbols represent bigger allocations. As noted on the map, since the intended benefit of many of the activities is "community wide," the symbols don't always represent where the benefit will occur, but rather where the subrecipient is based.

Conclusion

As evidenced by the map included in the Appendices, Middletown continues to devote most of its CDBG resources to its low income census tracts, specifically the downtown, and, more specifically yet, the North End. This dedication has culminated in both public and private accomplishments in the North End this year.

Publicly, the city's Common Council endorsed the NEAT-sponsored revised and updated North End / CBD Urban Renewal Plan with a special activity supplement targeting new initiatives to the Ferry and Green Streets neighborhood, long a focal point of the city's CDBG allocations. The streetlights upgrade is also widely anticipated and has the community abuzz with talk of Middletown's "renaissance."

As for private initiatives, the Alderhouse Artists' Cooperative has made great strides in their CDBG-supported project and Wesleyan University has committed to an Arts Center in the same neighborhood. Homebuyers are also beginning to express renewed interest in the downtown neighborhood, as its prospects begin to look brighter under the light of so much public and private attention.

Most importantly, the city's Community Development Block Grant program has become more visible in the community, as more of its projects are covered in local papers, the website becomes more user-friendly, and the program as a whole becomes more accessible and easy to understand to the general public.

Appendices

A. Application for Federal Assistance

The following page is the official document filed by the City of Middletown with the US Department of Housing and Urban Development (HUD), requesting federal funds through the Community Development Block Grant (CDBG) program.



424.doc

B. Resolutions

Resolution No.119-01

RESOLUTION

WHEREAS, the City of Middletown receives Community Development Block Grant (CDBG) Program Income from housing rehabilitation loan repayments and JOBS Loan Program repayments; and

WHEREAS, in accordance with CDBG Federal Program Requirements, the Citizens Advisory Committee solicited public input on the use of \$386,000 of CDBG Program Income received from said loan repayments and interest accrued thereon;

NOW, THEREFORE, BE IT RESOLVED BY THE COMMON COUNCIL OF THE CITY OF MIDDLETOWN:

That, the Mayor, as Chief Executive Officer of the City of Middletown, is hereby authorized to submit a notice to the U.S. Department of Housing and Urban Development as a "Substantial Amendment" to the City of Middletown's 2000 Entitlement/CDBG Program Consolidated Plan, that the \$386,000 of program income the City has received from residential rehabilitation loan repayments and interest will be used to fund the following activities:

- Demolition of the former Middlesex County Courthouse on deKoven Dr. \$ 170,000
- Purchase and installation of decorative street lights for Main Street \$ 216,000

BE IT FURTHER RESOLVED: That funds be appropriated as follows to enable the foregoing activities:

From:

- 396-003-900 Jobs Loan Fund Balance \$138,529.90
- 396-003-901 Rehab Loans \$247,470.10

To:

- 396-496-+++ Courthouse Demo \$170,000
- 396-496-+++ Streetlights \$216,000

BE IT FURTHER RESOLVED: That the purchase of the decorative streetlights for Main Street have the approval of the Public Safety and the Public Works Commissions before their installation.

*Recommended by the Citizens Advisory Committee at their meeting of September 19, 2001
Submitted by the Department of Planning, Conservation, & Development*

**Status: AMENDED AND PASSED
by Common Council, City of Middletown
at its meeting held on: NOVEMBER 5, 2001**

Resolution Number: 78-02
Date: May 6, 2002

RESOLUTION

WHEREAS, the City of Middletown receives Community Development Block Grant (CDBG) funds from the U.S. Department of Housing & Urban Development (HUD) as an entitlement community; and

WHEREAS, the final rule was published on January 5, 1995 in the Federal Register for the Consolidated Submission for Community Planning & Development Programs; and

WHEREAS, pursuant to the HUD final rule, revisions to the City of Middletown Citizen Participation Plan have been adopted which includes the process by which the Citizens Advisory Committee prepares the Consolidated Plan;

NOW, THEREFORE, BE IT RESOLVED BY THE COMMON COUNCIL OF THE CITY OF MIDDLETOWN: That the Mayor, as Chief Executive Officer of the City of Middletown, is hereby authorized to submit the 2002 Entitlement Program to the U.S. Department of Housing and Urban Development for a grant in the amount of \$570,000 under the Community Development Block Grant Program including all understandings and assurances contained therein; and

BE IT FURTHER RESOLVED: That the following appropriations are hereby approved:

Organization	Project	Amount
Oddfellows	Rehab and Restoration	\$25,000
Business Industry Foundation of Mdlx. County	Middletown Worker Prep	\$20,000
The Connection, Inc.	Middletown Youth Center	\$13,000
St. Lukes	St. Luke's Improvements	\$40,000
NEAT	Community Organizer	\$5,000
Board of Education	School Readiness	\$25,000
Positive Solutions	Economic Development and Job Creation	\$8,000
Mercy Housing	Ensuring Shepherd Home's Future	\$10,000
Middlesex Community College	Middletown Nursing Training Program	\$24,000
Department of Plng, Cons, & Dev	Streetscape Plan	\$65,000
Department of Plng, Cons, & Dev	Program Administration	\$112,000
Equity in Housing	2002 Rehabilitation Project	\$13,000
Middletown Housing Authority	Senior Center Renovations	\$20,000
Russell Library	Building Renovation Phase 3	\$25,000
Wesleyan University	Green Street Arts Center	\$100,000
Middletown Little League	Accessible Press Box	\$15,000
Office of ADA Coordinator	Main Street Accessibility	\$10,000
Gilead Community Services	Renovation/Expansion	\$20,000
Kuhn	Mobile Work Crew	\$20,000

AND BE IT FURTHER RESOLVED: That the Consolidated Plan may be updated and amended as necessary to reflect Community Development Block Grant programs approved by the Common Council and changing priorities of present and future potential grant recipients.

Submitted by: Department of Planning, Conservation and Development
Recommended by: Citizens Advisory Committee at its meeting of April 17, 2002

Status: PASSED
by Common Council, City of Middletown
at its meeting held on: MAY 6, 2002

Resolution Number: 79-02

Date: May 6, 2002

RESOLUTION

BE IT RESOLVED BY THE COMMON COUNCIL OF THE CITY OF MIDDLETOWN:

That the following budget modifications be made:

DECREASE

2000 Entitlement

Line Item 389-489-130	Kid City / Fire Safety	\$13,000.00
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2001 Entitlement

Line Item 399-484-134	I Have A Friend Youth Center	\$9,000.00
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CREATE

Line Item	Kid City / Relocation Costs	\$22,000.00
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**Submitted by: Councilman John L. Robinson and
Department of Planning, Conservation and Development**
Recommended by: Citizens Advisory Committee at its meeting of April 17, 2002

**Status: PASSED
by Common Council, City of Middletown,
at its meeting held on: MAY 6, 2002**

C. Certifications

In accordance with the applicable statutes and the regulations governing the consolidated plan regulations, the jurisdiction certifies that:

Affirmatively Further Fair Housing -- The jurisdiction will affirmatively further fair housing, which means it will conduct an analysis of impediments to fair housing choice within the jurisdiction, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

Anti-displacement and Relocation Plan -- It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential anti-displacement and relocation assistance plan required under section 104(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG or HOME programs.

Drug Free Workplace -- It will or 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 grantee'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 -
 - (a) The dangers of drug abuse in the workplace;
 - (b) The grantee's policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (d) 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 -
 - (a) Abide by the terms of the statement; and

- (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 4(b) 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(b), with respect to any employee who is so convicted -
 - (a) 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
 - (b) 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.

Anti-Lobbying -- To the best of the jurisdiction's 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; and

3. It will require that the language of paragraph 1 and 2 of this anti-lobbying certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Authority of Jurisdiction -- The consolidated plan is authorized under State and local law (as applicable) and the jurisdiction possesses the legal authority to carry out the programs for which it is seeking funding, in accordance with applicable HUD regulations.

Consistency with plan -- The housing activities to be undertaken with CDBG, HOME, ESG, and HOPWA funds are consistent with the strategic plan.

Section 3 -- It will comply with section 3 of the Housing and Urban Development Act of 1968, and implementing regulations at 24 CFR Part 135.

Domenique S. Thornton

(Signature/Authorized Official)

Date: _____

Title: MAYOR

Specific CDBG Certifications

The Entitlement Community certifies that:

Citizen Participation -- It is in full compliance and following a detailed citizen participation plan that satisfies the requirements of 24 CFR 91.105.

Community Development Plan -- Its consolidated housing and community development plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that provide decent housing, expand economic opportunities primarily for persons of low and moderate income. (See CFR 24 570.2 and CFR 24 part 570)

Following a Plan -- It is following a current consolidated plan (or Comprehensive Housing Affordability Strategy) that has been approved by HUD.

Use of Funds -- It has complied with the following criteria:

1. Maximum Feasible Priority. With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee 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, and other financial resources are not available);
2. Overall Benefit. The aggregate use of CDBG funds including section 108 guaranteed loans during program year(s) PY26 (2000), PY27 (2001), and PY28 (2002) (a period specified by the grantee consisting of one, two, or three specific consecutive program years), shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;
3. Special Assessments. It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

The jurisdiction will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to pay the proportion of fee or assessment attributable to the capital costs of public improvements financed from other revenue sources. In this case, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds. Also, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

Excessive Force -- 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 non-violent 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 non-violent civil rights demonstrations within its jurisdiction;

Compliance With Anti-discrimination laws -- The grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 USC 2000d), the Fair Housing Act (42 USC 3601-3619), and implementing regulations.

Lead-Based Paint -- Its notification, inspection, testing and abatement procedures concerning lead-based paint will comply with the requirements of 24 CFR 570.608 and 24 CFR 35.

Compliance with Laws -- It will comply with applicable laws.

Domenique S. Thornton

(Signature/Authorized Official)

Date: _____

Title: MAYOR

INSTRUCTIONS CONCERNING LOBBYING AND DRUG-FREE WORKPLACE REQUIREMENTS:

A. Lobbying Certification

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.

B. Drug-Free Workplace Certification

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification.
2. The certification is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HUD, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
4. 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).
5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the

agency of the change(s), if it previously identified the workplaces in question (see paragraph three).

6. The grantee 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)

Department of Planning, Conservation and Development
Health Department
Finance Department
Personnel Department
City of Middletown
Municipal Building
245 deKoven Drive/P.O. Box 1300
Middletown, CT 06457-1300

X Check ___ if there are workplaces on file that are not identified here.

The certification with regard to the drug-free workplace is required by 24 CFR part 24, subpart F.

7. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedule I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and (iii) temporary personnel and consultants who are directly engaged in the

performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

D. Map

PY28 (2002) Annual Action Plan

City of Middletown, CT

