



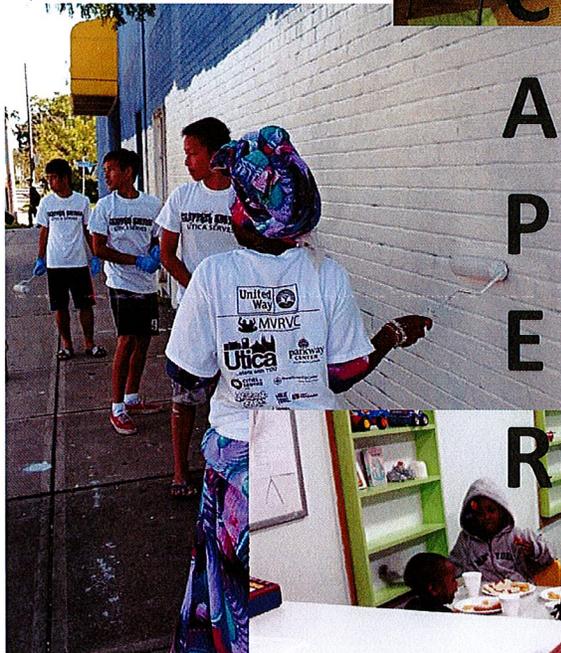
# City of Utica, New York

Robert M. Palmieri - Mayor  
Brian Thomas, AICP – Commissioner  
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## 2014-2015



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**A**nnual  
**P**erformance  
**E**valuation  
**R**eport



## TABLE OF CONTENTS

|  |    |
|--|----|
| TABLE OF CONTENTS .....  | 2  |
| GENERAL NARRATIVE .....  | 3  |
| Executive Summary .....  | 3  |
| One-Year Assessment.....   | 4  |
| Leveraging Resources.....  | 6  |
| Managing the Process .....   | 7  |
| Citizen Participation .....  | 8  |
| Institutional Structure .....  | 8  |
| Monitoring.....  | 9  |
| Lead-Based Paint .....   | 10 |
| Affirmatively Furthering Fair Housing .....                            | 11 |
| HOUSING .....  | 12 |
| HOME Program .....   | 12 |
| Specific Housing Objectives.....                                       | 15 |
| Monitoring.....  | 17 |
| Public Housing Strategy.....   | 18 |
| Barriers to Affordable Housing.....                                    | 22 |
| HOMELESS.....  | 24 |
| Addressing Homeless Needs .....  | 24 |
| EMERGENCY SOLUTIONS GRANT .....  | 25 |
| Addressing Homeless Needs .....  | 25 |
| Matching Resources .....   | 25 |
| Activity and Beneficiary Data .....                                    | 26 |
| Homeless Discharge Coordination .....                                  | 27 |
| COMMUNITY DEVELOPMENT .....  | 29 |
| Assessment of Relationship of CDBG Funds to Goals and Objectives ..... | 29 |
| Changes in Program Objectives.....                                     | 36 |
| Assessment of Efforts in Carrying out Planned Actions .....            | 36 |
| Low/Mod Job Activities .....   | 37 |
| Antipoverty Strategy .....   | 38 |

## GENERAL NARRATIVE

### Executive Summary

The 2014-2015 program year marked a significant turning point in the City of Utica's relationship with the United States Department of Housing & Urban Development (HUD). For a number of years prior the current mayoral administration, HUD raised concerns relative to the City's ability to adequately oversee and administer its federal entitlement grants, including Community Development Block Grant, Emergency Solutions Grant and the HOME Investment Partnership.

On top of those concerns, the City was awarded over \$2 million in 2009 for a Lead Hazard Control Grant. Questions relative to the City's management of that particular grant early in its administration led to HUD suspending work on the grant. Ultimately, this suspension of work resulted in the City missing important milestone points in the administration of the grant and the grant funds were withdrawn by HUD.

HUD's concerns reached such a level that within the first few months following Mayor Palmieri's oath of office in 2012, the HUD-Buffalo office summoned Mayor Palmieri and the entire staff of the Department of Urban & Economic Development to Buffalo for a face-to-face meeting.

Since that time, the City administration and more specifically, the Department of Urban & Economic Development, has made considerable strides in correcting past deficiencies and significantly overhauling the manner by which federal grants are administered. Monitoring visits and reviews of Department programs and policies have raised far fewer concerns. A reorganization of staff responsibilities within the Department, the hiring of a full-time finance coordinator, investments in staff training have begun to make a difference.

The turnaround has been so remarkable that Jaime E. Forero, Field Office Director of the HUD-Albany field office selected the City of Utica to conduct a Community Needs Assessment (CNA) in 2014, citing the turnaround and the promising events on the City's horizon as reasons for the selection. Among the promising events on the City's horizon was the advent of nano-technology, resulting from the significant investment being made by the State of New York in Nano Utica, which is anticipated to bring thousands of new jobs to the Greater Utica area.

The City of Utica was one of only three municipalities in New York State to be selected by HUD to conduct a CNA initiative. The purpose of the process was to identify the unique needs of Utica and to develop a short-term 2-year Action Plan. The City of Utica Department of Urban and Economic Development's team, including the Genesis Group, CNY - Veteran's Outreach Center and the Cornell Cooperative Extension (CCE) Rust to Green (R2G) Studio, conducted nine

roundtable discussions, facilitated by local community leaders, which helped to identify six goals, including:

- Facilitate Employment;
- Increase Economic Activity;
- Improve Educational Opportunities;
- Enhance Public Safety;
- Improve Health and Wellness; and
- Provide Enhanced Housing Opportunities.

The team also solicited participation from the public via online and hardcopy surveys which were accessed by 1,024 adult respondents and 1,454 Proctor High School students and area youth under age 25.

The resulting two-year Action Plan was incorporated into the City's 2015-2019 Consolidated Plan and 2015-2016 Annual Action Plan.

In addition to the Community Needs Assessment, Director Forero also asked the City of Utica to host a five-city summit focused on housing issues this past May. Attended by several hundred participants from the cities of

Utica, Rome, Binghamton, Watertown and Amsterdam, the highlight of the summit for the City of Utica was a keynote address by HUD Deputy Secretary Nani A. Coloretti. In addition to her address, the Deputy Secretary and Regional Administrator Holly M. Leicht (seen in the photograph with UPD Chief Mark Williams and UFD Chief Russell Brooks) met with Mayor Palmieri and staff from the Department of Urban & Economic Development to discuss the Community Needs Assessment and to tour the City.



As this report will show, the City's oversight of CDBG, HOME and ESG continues to maintain high standards.

### **One-Year Assessment**

The 2014-2015 program year marks the final year of the City's 2010-2014 Consolidated Plan term. In reviewing the HUD IDIS PR02 – List of Activities by Program Year and Project, a number of notable items stand out.

The first notable item is that one of the largest single expenditure of CDBG funds in the City's history was made in this program year. A total of \$734,790.91 was spent on the demolition of the former Roosevelt School on the southeast side of the City's Cornhill neighborhood. This activity was advanced due to the partial collapse of the building and will make way for the construction of numerous low- to moderate-income homes for working class families, homes that will be designed and constructed to fit into the context and fabric of the surrounding residential neighborhood. This project turns what has been a blighting influence on the neighborhood into some of the newest, affordable housing in the City in the next year or two.

The second notable item is the significant increase in economic development loan activity. For the past several years, presumably because of the depressed economic conditions locally and throughout the country, new economic development loans through the City have been few and far between. In the 2014-2015 program year, however, nearly \$300,000 was loaned to new or expanding businesses, including several in the downtown.

The third item of note in the PR02 is the significant reduction in Section 108 loan repayments. Up close to nearly \$1 million dollars only a few years ago, the City's expenditure for this particular activity has dropped to under \$290,000, thereby freeing up considerably more CDBG funds for other CDBG-eligible projects.

Turning to the PR26 – CDBG Financial Summary Report, there are also several items of note on that report as well. The first item of note is Line 22 which states the percentage of CDBG expenditures that benefit low- to moderate-income persons. For 2014-2015, this benefit totaled 90.42%. The City, as it does traditionally, committed to a 3-year period in which to meet HUD's required 70% beneficiary level; that period started with the 2013-2014 program year and runs through the 2015-2016 program year. In looking back at last year's CAPER, the beneficiary percentage was at 82.13%. Factoring in this year's 90.42%, the City stands at 86.28% for a two-year average, meaning that the City must commit at least 37.45% of its expenditures in the 2015-2016 program year to activities that benefit low- to moderate-income persons in order to meet the 70% threshold requirement.

Also of note is Line 36 which indicates the percentage of expenditures during the 2014-2015 program year spent on public service activities. As has traditionally been the case since Mayor Palmieri took office, that number (8.44%) is relatively low and is roughly half the maximum permitted by federal regulations.

Finally, Line 46 on the PR26 is important to note as well; this line calculates the percentage of all CDBG expenditures spent for program administration. Federal regulations mandate that this amount be no higher than 20%; for the City of Utica in the 2014-2015 program year, the percentage was just under the maximum permitted at 19.54%.

The City of Utica meets federal regulations governing the return of all earned interest having to the United States Treasury. In the 2014-2015 program year, a total of \$81.80 in interest was earned. The Department's CD Finance Administrator conferred with HUD-Buffalo staff and

confirmed that the federal regulations permit the City to keep any amounts under \$500 for administrative purposes. Additionally, the City of Utica is current on the submission of the required Federal Cash Transaction Reports. As of the date of this report, reports have been completed and submitted up through March 31, 2015.

## **Leveraging Resources**

Beyond its use of entitlement funds to address poverty and infrastructure needs throughout the City of Utica, the City has been aggressive in seeking alternative sources of funding. For the past several years, Governor Cuomo has awarded the majority of grant funds available through the State of New York in the Consolidated Funding Application (CFA) rounds. Funds awarded in each annual CFA round are doled out on a regional basis based on submission of a regional plan developed by an established Regional Economic Development Council. The City of Utica is located within the Mohawk Valley region which is comprised of six counties; within that region, the City of Utica is the largest municipality.

In the latest round of Consolidated Funding Applications (applications were submitted in the Summer of 2014 and awards announced by Governor Cuomo in December 2014), the Mohawk Valley region received among the smallest amounts in overall monetary awards. The City of Utica, however, fared fairly well.

The City's implementation of the Harbor Point Plan received another modest boost with an award of \$500,000 through the New York State Department of State; the funds will be used to make improvements to the Harbor in furtherance of the plan. With that award, the State of New York has invested close to \$9 million in the Harbor in recent years. Full realization of the plan will create a significant amount of new employment opportunities, likely in retail and service sectors and made available to the City's low- and moderate-income residents.

The Kemble Park Project was the recipient of a \$500,000 award through the New York State Office of Parks, Recreation and Historic Preservation. The grant will fund the construction of the first phase of the plan, which has been organically created at a grass roots level by the residents of the Cornhill neighborhood. Community Development Block Grant funds will be utilized as well.

Outside of the State's CFA process, the City was also successful in securing \$236,000 from the New York State Department of Environmental Conservation for the remediation of a vacant parcel of land in the City's burgeoning Bagg's Square West neighborhood. The plan for the remediated lot calls for the development of a small amount of parking to be developed to support the private sector development that has occurred in the neighborhood in recent years, along with appropriately designed green space, which is severely lacking in the neighborhood right now.

## Managing the Process

The City of Utica Department of Urban & Economic Development (Department) has oversight of the administration of all federal entitlement funds on behalf of the City of Utica, as it has done since inception of the CDBG program in 1974.

Unlike previous years where the Department has had to deal with near constant upheaval and staff turnover in key positions of authority, stability and continuity was the theme for the Department in the 2014-2015 program year. The position of Commissioner for the Department continues to be filled by Brian Thomas, a twelve-year veteran of the Department. Initially appointed to the position by former Mayor David Roefaro in August 2011, current Mayor Robert Palmieri extended the appointment when he took office in January 2012. In addition to his duties and responsibilities associated with serving as Commissioner, he also maintains direct oversight of the City's Community Development Block Grant (CDBG) program, relying on over twenty years experience.

Staff Attorney Laura Campion serves as the HOME Program Coordinator, filling a role that had been absent in the Department for several years prior to her joining the Department. She continues to ensure the Department's adherence to federal HOME program rules, as well as to the Department's internal policies and procedures, which were developed by in cooperation with Dennison Associates (hired by HUD to provide technical assistance to the Department) during the prior program year.

Planner Christopher Lawrence continues his oversight duties of the City's Emergency Solutions Grant, maintaining strong coordination with the various homeless service providers and the Continuum of Care.

Finance Administrator Alissa McElhinney has brought stability to a very important position within the Department that was in flux for some time prior to her joining the Department. She has worked diligently to bring the City's financial reporting in line with federal requirements. Participating in various *TA Thursday* conference calls throughout the 2013-2014 program year in order to increase her knowledge of federal rules and regulations, she continues to search out opportunities to expand her knowledge of financial accountability for the CDBG, HOME and ESG programs.

Economic Development Specialist Jack Spaeth continues to administer the City's Economic Reinvestment Program (ERP), providing necessary assistance to businesses that either locate to or expand within the City of Utica.

Monitoring, file maintenance and various other cross-cutting requirements are handled by Administrative Assistants Cathy Mack and Patti DeCarr, both long-time veterans of the Department. As noted later in this report, monitoring of CDBG subrecipients has improved dramatically since the assignment of such duties to Ms. DeCarr. A good monitoring program begins with an organized filing system which has been instituted by Ms. Mack over the past several years.



Department staff continued to take advantage of the learning opportunities available through the monthly conference calls *TA (Technical Assistance) Thursdays* and *Rehab Rap*, addressing different topics each session and hosted by the regional HUD office in Buffalo in order to assist entitlement communities and other partners (CHDO's, Continuum's, etc.). Laura Campion, HOME Program Coordinator in the Department, participated in numerous *Rehab Rap* sessions to increase her knowledge of HOME program regulations. Various staff members participated in *TA Thursdays*, depending on the topic and its relevancy to their respective duties and responsibilities.

Opportunities for additional training will continue to be considered for all staff, particularly for the CD Finance Administrator position given her relative newness in the position. Within the Department's budget, travel expenses have been included in the eventuality of such training becoming available in this area of the country.

## **Monitoring**

The monitoring of the City's CDBG, HOME and ESG programs is done on a regular basis throughout the program year. Monitoring, at its most basic level, starts with the submission of invoices and vouchers requesting reimbursement from the various subrecipients. The Community Development Finance Administrator in the Department of Urban & Economic Development reviews all invoices and vouchers and performs audits of such to ensure that all subrecipients are following applicable federal regulations. The audit also serves to gauge the expenditure rate of the various subrecipients and the City as a whole over the course of the program year.

Beyond these audits, the City's subrecipient agreement requires that all subrecipients submit quarterly progress reports and a final year-end progress report. These progress reports summarize accomplishments made by the subrecipient relative to the funded activity. The reports allow City staff the ability to gauge effectiveness of the funding, progress toward accomplishing the various goals and objectives within the City's Consolidated Plan and toward the performance measurements that the City committed to in its Consolidated Plan. A central file has been established within the Department by program year and by subrecipient where all subrecipient agreements, quarterly progress reports and final year-end progress reports are maintained and available to Department staff.

Occasionally, City staff will perform on-site monitoring visits with various subrecipients to ensure the files and operations of the subrecipient are in accordance with the activity being funded by the City and with applicable HUD regulations. These visits involve not only visits to the program offices to review files and meet with administrative personnel for the subrecipient, the visits also generally include visits to the actual site of program activity such as a housing site or a youth activity location.

Since the 2012-2013 program year, a Senior Administrative Assistant within the Department of Urban & Economic Development has been assigned to the task of subrecipient monitoring. This

assignment has consistently resulted in improved record keeping within the Department and increased responsibility on the part of subrecipients to submit required reporting and documentation. Since that time, all CDBG subrecipients have been the subject of intensive on-site monitoring visits by staff of the Urban & Economic Development Department. All correspondence related to these on-site monitoring visits is maintained in the central file within the Department of Urban & Economic Development offices, including notification of the visit, checklists and notes made during the visit and any necessary follow-up issued subsequent to the visit. It is important to note that while HUD regulations require merely a sampling of subrecipients be monitored every year, the City of Utica has performed on-site monitoring visits of each and every CDBG and ESG subrecipient.

Monitoring of CDBG projects and activities were conducted for the 2014-2015 program year. Every project file was thoroughly examined. Quarterly and final reports were reviewed to ensure contract targets were being met, correct demographic information was submitted and that expenditures were reasonable and appropriate. Department staff performed on-site monitoring of all of the CDBG programs which have current contracts with the City for the 40<sup>th</sup> entitlement year. While no specific violations were noted, the Department did follow up in writing noting several program concerns. CDBG subrecipients were supportive with the suggestions made to remedy the concerns identified by the staff. Furthermore, the remote monitoring of invoices submitted for payment and quarterly reports did not reveal any instances of non-compliance.

Recipients of HOME funds are monitored as required per federal HOME regulations and the City's own HOME program policies and procedures.

### **Lead-Based Paint**

The City of Utica continued its effort in the 2014-2015 program year to find funding grant sources beyond the entitlement grants that would aid the City in addressing the problems associated with lead-based paint in our aging housing stock. Unfortunately, at this time, our efforts have been unsuccessful, thereby limiting our ability to address lead-based paint issues on a large scale. However, the awareness amongst various organizations working within the City of Utica has increased with regard to the issue of Lead-Based Paint and as a result we are confident that a program will be developed and implemented soon to address this significant problem within the City of Utica. Specifically, the Community Foundation, a non-profit organization which provides a source of private grant funds, has begun the process of investigating programs that can begin addressing the issue.

In the interim, the City is using HOME Program rehabilitation projects to address lead-based paint within homes and rental properties eligible under the specific program parameters. During the 2014-2015 program year, the City increased the per-unit subsidy cap for the Center City Homeowner Occupied and Center City Rental Rehabilitation programs to \$40,000.00 in an effort to provide more per-unit funding to assist the UNHS NeighborWorks<sup>®</sup> Homeownership Center in their efforts to address lead-based paint during rehabilitation projects in the Center

City neighborhood. However, shortly after the organization began doing risk assessments within the candidate homes, it became clear that there was more funding required in order to ensure that all lead-based paint hazards in homes were addressed. After the City reviewed the documentation provided with regard to the rehabilitations, additional funding was provided to the program and the per-unit subsidy cap was raised. By the close of the 2014-2015 Program Year, four (4) properties consisting of six (6) units were completely rehabilitated and their lead-based paint hazards addressed with another six (6) properties underway with their rehabilitation.

Furthermore, the City is using other resources to encourage private investors to address issues associated with the deteriorating and aging housing stock present within the City. As an example, during the 2014-2015 program year, the Urban Renewal Agency sold 121 tax-foreclosed properties, the majority of which were residential in nature, to purchasers whom presented to the agency plans for rehabilitating the properties. As a condition of the sale, the buyer must complete all stated rehabilitation within one-year, or the Agency has the authority to enforce a reverted clause and take back the property. While this does not guarantee the remediation of lead-based paint with the homes, the combination of the Agency requiring rehabilitation and the involvement of the City of Utica Codes Enforcement Department in the rehabilitation process aids in ensuring that lead certified contractors are involved in the vast majority of the rehabilitation projects which in turn assists in the remediation of lead-paint hazards within these properties.

### **Affirmatively Furthering Fair Housing**

Last year's CAPER noted the groundbreaking regional Analysis of Impediments that had been developed with the cooperation of the City of Utica and the City of Rome in 2008-2009. The CAPER also noted that the City of Utica had subsequently entered into a contract with the Fair Housing Council of Central New York to conduct training workshops throughout the region dealing with fair housing issues in the City of Utica; that contract expired during the prior program year.

During the 2014-2015 program year, the Fair Housing Council of Central New York (which has since changed its name to CNY Fair Housing) submitted an application to the City of Utica seeking a \$5,000 grant of Community Development Block Grant funds to continue their work in the City of Utica. The Mayor and Common Council saw fit to award the funds requested and the City and CNY Fair Housing are merely waiting for HUD approval of the City's 2015-2020 Consolidated Plan to begin anew.

During this upcoming program year, the City will discuss the possibility of contracting with CNY Fair Housing to conduct a new Analysis of Impediments to Fair Housing Choice.

In the latest round of the State's Consolidated Funding Applications, the City was the recipient of nearly \$170,000 through the New York State Energy Research and Development Authority (NYSERDA) to overhaul its outdated zoning code. This effort, to begin in the next program year,

will consider how the current zoning regulations may help or hinder compliance with federal fair housing laws and will recommend changes to the City's zoning ordinance to address any shortcomings.

## HOUSING

### HOME Program

The City of Utica HOME Program for the 2014-2015 Program Year was very successful. Throughout the 2014-2015 Program Year the City expended \$478,339.80 in HOME funds to create and/or rehabilitate fifteen (16) units of housing. The City has now fully implemented the City of Utica HOME Program Policies and Procedures that were finalized during the 2012-2013 Program Year and the City, in conjunction with its partners, was able to promote and foster significant housing development projects through the use of HOME funds. While there remain a few issues that need to be cleared up as a result of past mismanagement of grant funds, the City has been able to move forward with its HOME Program and is currently operating a compliant and successful program that is aiding many City of Utica residents to live in safe, affordable housing units.

There was a significant amount of housing development within the City of Utica during the 2014-2015 Program Year, much of which can be attributed to HOME assisted development projects. HOME Projects include:

- **Rental Projects**
  - Genesee Crossings: This project began in the 2012-2013 program year with the City committing \$700,000.00 to Housing Visions, Inc. for the development of thirty-three (33) scattered site rental units throughout the border section between West Utica and the Cornhill neighborhood. During the 2013-2014 Program Year, twenty-four (24) of the units were fully developed and rented to low/mod income families. The completed units are in two family houses and include two, three and four bedroom units. The remaining nine (9) one-bedroom units within a single building that is dedicated for senior housing completed during the 2014-2015 program year. All 33 units have been leased to income eligible tenants and the project began the twenty (20) year affordable period in July of 2014.
  - Johnson Park Apartments VI: In the previous program year the City of Utica executed a contract with the CHDO Johnson Park Center for the development of twenty (20) new apartments in six buildings within the Johnson Park Target Area of the Cornhill section of the City. The apartments will be a continuation of the previous Johnson Park Apartment projects, and will continue to provide housing for chronically homeless women suffering from mental health issues, as well as their children. The project will occur over the next three years and will be executed in three phases, with each phase consisting of the rehabilitation of two buildings. At this stage, the projects are finalizing the specification for the units and construction is anticipated to begin in the fall of 2015.

- Center City Rental Rehabilitation Project: This project went to contract in July of 2013 and involves the rehabilitation of rental properties within the Center City neighborhood of the City. The Center City neighborhood consist of a 43 block area in the heart of Utica and while a recent survey of the area showed that people are generally happy with the neighborhood, it also highlighted a number of shortfalls, specifically with regard to the aging and deteriorating buildings. In response to this documented blight, and the fact that the majority of citizens living in the neighborhood are low/moderate income families, the City of Utica has partnered with UNHS NeighhborWorks<sup>®</sup> Homeownership Center (The Homeownership Center) to operate a rehabilitation project aimed at turning the substandard rental units currently existing in the area into safe and affordable properties. The project will rehabilitate 3-4 units and the rehabilitation is underway and anticipated to complete in the fall of 2015. Depending upon the project's success and the demand for services, program funding may be increased during future funding cycles.
  
- Lincoln Ave Rental Housing Development Project: During the 2014-2015 Program Year, the City worked with a local for-profit developer, Blanco & Sons Realty, LLC, to develop a plan for creating a mixed income rental housing project in a property the company purchased that was in significant need of repairs. Through negotiations the City and Blanco & Realty, LLC developed a project which would create three (3) out of the six (6) units in the building located at 1147 Lincoln Ave, Utica, New York, 13502 into affordable housing units through HOME funding. 1147 Lincoln Ave is located on the cusp of West Utica and the City's up and coming downtown district. This is one of the first mixed-income rental housing development projects that the City has funded with HOME funds and is poised to create a model for incentivizing for profit rental housing developers to create affordable units alongside market rate units and increase income diversity within housing development projects. The project was developed in 2014-2015 Program Year, was finalized and contracted at the start of the 2015 Program Year, and is poised to complete in the fall of the 2015-2016 Program Year.
  
- Roosevelt Residences Rental Development Project: This project is another endeavor that was developed during the 2014-2015 Program Year and will be executed over the next two years. This development will be carried out by the Municipal Housing Authority, in conjunction with an affordable housing development company, and will utilize low income housing tax credits, New York State funding, and City of Utica HOME funds to create approximately 48 units of affordable housing in the Cornhill neighborhood and anchored at the site of the former Roosevelt School. The project is planned and all site development work has been completed. At this time the additional funding sources are being finalized and fully secured and the project is poised to begin construction during the 2015-2016 Program Year.

- **Homebuyer Development Projects**

- Habitat for Humanity: During the 2013-2014 Program Year, the City of Utica provided funding to Oneida County Habitat for Humanity in order to aid the organization in completing two (2) more homes on Lansing Street, a residential area adjacent to the City's downtown. This project is a continuation of the work the organization did during the 2012-2013 program year and created two new homebuyer units on a street which has significantly improved due to Habitat's involvement. One of the units was sold to an eligible family that continues to occupy the home. The other property was completed at the end of the 2014-2015 program year and is currently under contract for sale to an income eligible property owner. Closing is anticipated for June of 2015 at which point the family will be able to move into their brand new home. In addition to the work that was finalized on the current contract, the City is also working with Habitat to develop additional Homebuyer projects within Cornhill and the West Utica neighborhood.

- **Homeowner Occupied Rehabilitation Projects**

- SAFE Program: The City of Utica, in working with the Homeownership Center, has established a very successful Homeowner Occupied Rehabilitation Program that focuses on ensuring that low/moderate income families with senior citizens are able to live in healthy, safe affordable housing that meets the needs of the elderly members of the family. In the 2014-2015 Program Year, the second round of this funding was used to rehabilitate 3 units of housing which were owned or used by elderly members of the community. In addition to these units, the City also contracted with the Homeownership Center for a third year of the program, which is anticipated to rehabilitate 3-4 more homeowner occupied units during the 2015 construction season.
- Center City Homeowner Occupied Rehabilitation Project: In conjunction with the Center City Rental Rehabilitation program, and in an effort to improve the conditions of homeowner occupied units in the Center City neighborhood, The Homeownership Center also operated a homeowner occupied rehabilitation program with the use of HOME funds to ensure homeowner occupied properties in the target area are code compliant, safe and affordable. The project was committed to and developed during the 2013-2014 program year, with construction occurring and completing during the 2014-2015 Program Year. Through the use of these funds, Five (5) homeowner occupied units were rehabilitated and are now code compliant, safe and affordable for the occupants.

In addition to the projects which were developed, executed, and/or completed during the 2014-2015 Program Year, the City has also put in significant work to identify and address the needs of the residents of the City of Utica with regard to housing. Through the development of the Community Needs Assessment, market analysis efforts, and development of strategic plans,

the City of Utica used the 2014-2015 Program Year to identify needs of the community with regard to housing, and develop plans that leverage HOME funds to meet those needs. Project development efforts include identifying more opportunities for mixed-income and mixed-used housing development projects and identifying special needs populations and mechanisms for increasing housing focused on those populations. Upon development of these strategies, goals and plans, the City began working developers to create specifics for execution of the plans. The City anticipates a number of projects moving forward over the next program year due to the efforts undertaken during the 2014-2015 Program Year.

### **Specific Housing Objectives**

The 2014-2015 Program Year is the fifth and final year for the 2010-2014 Consolidated Plan and as such represents the culmination of the efforts undertaken over the last five years to meet the specific housing objectives of the 2010-2014 Consolidated Plan. Six (6) priority goals were identified during the 2010-2014 and for the 2014-2015 Annual Plan the City identified five (5) of those priority goal as specific housing objectives that required further action to achieve the goal.

The first priority goal that was identified for the 2014-2015 program year was stabilizing, supporting, and developing housing in and around the City's core. As noted in the Annual Action Plan, the City continued a targeted neighborhood approach by working with The HomeOwnership Center, a certified Community Housing Development Organization, to develop and implement the Center City Project. The Center City Project is a focused revitalization project which targets a 43 block residential neighborhood located in the heart of the City. The Homeownership Center began the process of developing the project with a comprehensive evaluation of the neighborhood as it currently stands and has focused efforts to address the needs identified in the survey. In this vein, during the 2014-2015 Program Year The Homeownership Center used City of Utica HOME funds, as well as New York State Affordable Housing Corporation (AHC) funds to address the identified concerns relating to the significant decline in the neighborhood housing stock.

In order to both stabilize existing housing and develop additional low/moderate income housing, the City and UNHS entered into three separate housing rehabilitation written agreements – the first for a HOME Program Homeowner Occupied Rehabilitation Program, the second for a CDBG Program Homeowner Housing Rehabilitation Program, and the final for a HOME Program Rental Rehabilitation Program. During the 2014-2015 Program Year, \$226,020.50 of HOME Program funding and \$98,407.97 in CDBG funding was used to rehabilitate seven (7) homeowner occupied properties within the target zone. Additionally, \$215,560.00 of HOME Program Funding was used to rehabilitate four (4) rental units which will now be designated for low/moderate income tenants. Finally, The Homeownership Center also identified and created work scopes for six (6) more homeowner occupied rehabilitation projects to be funded through the remaining \$276,577.05 of CDBG funds designated for the target area. These projects, combined with the New York State AHC funding, account for the rehabilitation of approximately twenty-five (25) units of housing.

In addition to work done by The Homeownership Center during the program year to stabilize the Center City neighborhood, the City also began work on stabilizing the Cornhill neighborhood surrounding the site of the former Roosevelt School. Working with the Utica Municipal Housing Authority and a private developer, a comprehensive plan has been developed to create rental housing aimed at providing decent, safe and affordable housing for families. During the 2014-2015 Program Year, efforts related to this project included finalizing the sites for the development, finalizing the architectural plans, and getting the necessary government approvals. Construction is anticipated to begin during the 2015-2016 Program Year and will result in the development of 48 new units of housing, a resident's center, and 24 new buildings in the neighborhood.

Finally, the Genesee Crossing Project, which developed thirty-three (33) units of rental housing. While twenty-four (24) of the units were completed during the prior program year, nine were completed during the 2014-2015 Program Year and all thirty-three (33) units are now fully occupied by income eligible tenants.

The second priority goal identified for the 2014-2015 Program Year was to develop new CHDO relationships to replace the former GroWest, Inc. Recognizing that a single CHDO approach to housing development leaves the City vulnerable to not having a CHDO, the City has worked to develop both The Homeownership Center and the Johnson Park Center into active City of Utica CHDO's. The process of increasing the activity of these two organizations began during the 2012-2013 program year, and now two program years later the City has continued to increase involvement with these organizations, works with the agencies to develop new housing initiatives, and continues to aid with the development of affordable housing through HOME funding. Currently, each organization is operating CHDO eligible activities with the Johnson Park Center managing their previous Johnson Park Apartments programs and developing the Johnson Park Apartments Phase VI and The Homeownership Center implementing their Center City Rental Rehabilitation Project and developing their first wholly owned and managed mixed-income rental property. Additionally, both organizations received a small CHDO Operating Grant to aid them in operating their CHDO eligible projects. Finally, the City is continuing to work with up and coming organizations throughout the city to help them develop into operating and successful CHDOs.

The third priority goal identified for the 2013-2014 Program Year was to continue to address the overwhelming number of homes afflicted by lead-based paint. The City has continued to seek alternative sources of funding to address this need however our attempts at this point have been unsuccessful. In the interim, we have moved to using the rehabilitation projects currently operating, predominately through The Homeownership Center, to address the lead-based paint issues on a case-by-case basis. Efforts to help address the lead issues in homes has included increasing the per-unit caps on rental and homeowner occupied units to \$50,000.00 to help cover the enormous expenses associated with removing lead hazards and working with community partners, including the Homeownership Center, New York State, Oneida County, and the Community Foundation to develop a targeted plan to address lead in the coming years.

As a result of the continuing problem, the City of Utica will be carrying this specific housing objective over to the 2015-2019 Consolidated Plan and is in the process of applying for additional funding specifically designated to address lead hazards in City of Utica homes.

The fourth priority goal identified for the 2014-2015 Program Year was to increase energy efficiency for eligible homeowner's city wide. Moving along with our targeted approach to housing development and rehabilitation, we have focused our resources related to this project on the Center City neighborhood. Using HOME and CDBG funds to conduct homeowner occupied rehabilitation programs, The Homeownership Center has been able to not only remove lead paint hazards and codes violations but also increase energy efficiency of homes while decreasing the costs that homeowners face with regard to utility costs. Energy efficiency upgrades have included improving roofs, replacing windows, installing new doors and improving entrance ways to decrease heat loss and improve the efficiency of heating units. This is also the case for the homes outside the Center City target area that receive assistance through the SAFE program.

The fifth priority goal identified for the 2014-2015 Program Year was to work toward increasing the number of owner-occupied units throughout the City. The City and its partners have made significant strides towards meeting this goal over the last five years of the consolidated plan and work continued during the 2014-2015 Program Year. As stated in the 2014-2015 Annual Action Plan, the City is working to use CDBG funds to make essential repairs to housing units owned by the City of Utica through the tax foreclosure process in order to make them more marketable to persons interested in occupying the homes as their primary residence. During the 2014-2015 Program Year, and in order to ensure that repairs are made in a way that is consistent with HUD rules and regulations, efforts were focused primarily on developing the program through comprehensive policies and procedures that will guide the way in which funds are allocated and spent. Now that the policies and procedures are near final, the City is preparing to fully implement this program for the 2015 construction season. Additionally, during the 2014-2015 Program Year the City and Habitat for Humanity began the early stages of developing an acquisition and rehabilitation project for the organization which will result in at least one single family home being sold to an income eligible homeowner.

## **Monitoring**

The City of Utica has a diligent and comprehensive monitoring program that ensures projects are regularly monitored throughout construction as well as the applicable regulatory periods. For projects which are in their construction phases, City staff (including Urban and Economic Development Staff and Codes Enforcement Officers) regularly visit sites to ensure that construction is progress on schedule, work is being completed in a manner that is code compliant and structurally stable, and that all applicable rules and regulations are adhered to. Prior to the disbursement of funds, the City of Utica requires that a codes enforcement officer signs off on the completed work, either through a certificate of occupancy (new construction) or a final inspection (rehabilitation work). Additionally, as part of the reimbursement process for rental development projects, the City requires that prior to the final disbursement of funds,

the developing organization submit all beneficiary data for review and approval. For homeowner occupied rehabilitation projects and homebuyer projects the City requires beneficiary data be submit prior to the disbursement of funds for each unit.

In the time following the project completion, the City continues monitoring the projects to ensure that all HUD rules and regulations are met, as well as all rules and regulations imposed through the City's policies, procedures, and written agreements. Each May, following the close of the program year, on site monitoring is conducted to ensure that properties are being maintained and project files are in order. A combination of factors are used to determine which projects are required to be monitored, including the HUD rules and regulations, the time since the last monitoring occurred, the level of staff turn-over or organizational restructuring that has occurred, and amount of investment that the City has made through the organization. This year onsite monitoring was conducted for:

- Kennedy Plaza Apartments: owned by Liberty Affordable Housing and managed by CRM Management.
- Genesee Crossing: owned by Genesee Crossings, LLC managed by Housing Visions
- Oneida County Habitat for Humanity Homebuyer Units: developed by Oneida County Habitat for Humanity, owned by various eligible homebuyers
- Safe Program Year I and Year II: homeowner occupied rehabilitation conducted by The Homeownership Center

In conducting the onsite visits, the City of Utica requires that the Project Compliance report is submitted to the City and uses monitoring checklists to ensure that all areas of the project are reviewed and that the project is continuing in accordance with all applicable rules and regulations. The City also takes the time during on-site monitoring visits to speak with staff about problems they may be facing, meet with residents or beneficiaries to discuss how the program has worked (or not worked) for them, and provide or set up any technical assistance. For projects which are not chosen for on-site monitoring, organizations are required to submit a project compliance report to ensure that units are properly occupied. Following receipt of the reports, the City reviews and determines if there is a need for an on-site review based upon the information provided.

## **Public Housing Strategy**

The mission of the Municipal Housing Authority of the City of Utica, New York (UMHA) is to be a leader in the housing industry by providing safe, clean and affordable housing opportunities to low income persons while promoting self-sufficiency, upward mobility, and customer satisfaction. With integrity, high ethical standards, and competence, UMHA is committed to transparently provide, develop and offer low-income residents of the City of Utica:

- Quality affordable housing opportunities,
- Neighborhood revitalization and community renewal activities,
- Partnerships w/ private & public entities to optimize resources through innovative programs,

- Efficient and effective management of resources,
- Education, literacy, social, career development and economic self-sufficiency programs.

The UMHA owns/manages/oversees a total of 1,016 public housing, Project-Based, and Low-Income Housing Tax Credit units. In addition, UMHA operates a Tenant-Based Housing Choice Voucher (Section 8) Program with a total of 316 vouchers. The MHA offers a full range of resident services including youth, job training, financial literacy, senior services, case management, and life skills training.

## **MAJOR ACCOMPLISHMENTS**

1. In May 2015, the Municipal Housing Authority of the City of Utica, New York completed the construction of twelve new public housing units at its Humphrey Gardens development. The Humphrey Gardens Expansion Project involved the construction of two new buildings consisting of a total of 12 apartment units on the grounds of the existing Humphrey Gardens development in Utica. Of the 12 new units, there are five 1 bedroom and seven 2 bedroom units. Two are fully accessible. In addition to the housing units, the project includes a site management office as well as a resident center and computer lab. With the addition of the 12 units, the complex now has a total of 120 affordable housing units.

The total cost of the project was approximately \$2 million. Construction started in May 2014. Funding for the project was provided by the United States Department of Housing and Urban Development (HUD) Replacement Housing Factor Program as well as the Housing Authority's program income fund.

2. In FY 2015, the UMHA has begun the implementation of two Energy Performance Contracts. Targeting public housing properties, the first Energy Performance Contract will generate significant costs savings and allow the housing authority to continue to install much needed energy conservation improvements. Energy improvements will include interior and exterior lighting, water conservation, window replacement, programmable and high limit thermostats, refrigerator replacement, furnace and boiler replacement, installation of Safe T elements on stoves, domestic hot water replacement, heat pump unit replacement, and building envelope improvements. The total cost of the contract will be approximately \$4.5 million. The New York State Energy Research and Development Authority will provide rebates to the project. Funding from the UMHA's Federal Emergency Management Fire Prevention grant will cover the cost of the installation of Safe-T-elements® on ranges to prevent stove fires. The Energy Performance Contract will also consist of resident energy education and Section 3 employment and training.

In addition, a second Energy Performance Contract amounting to \$2 million will involve energy conservation improvements to the Chancellor Project-Based Section 8/NYS public housing development such as interior and exterior lighting, water conservation,

and domestic hot water heater replacement. In addition, the UMHA will begin a window replacement project at its Chancellor P which will be financed by a grant of \$300,000 from the New York State Housing Trust Fund Corporation.

Energy Performance Contracting (EPC) is an innovative financing technique that uses cost savings from reduced energy consumption to repay the cost of installing energy conservation measures. The costs of the energy improvements are borne by the performance contractor and paid back out of the energy savings. The UMHA has successfully installed more than \$13 million in energy improvements to its public housing inventory through energy performance contracts and AARA funding.

3. In 2015, the UMHA Housing Choice (Section 8) Program greatly expanded its voucher authority from 175 to 316 vouchers through the award of Enhanced Housing Choice Vouchers for the households residing in the Meadows at Middle Settlement development in New Hartford, New York. Within a five month period, the UMHA determined each household's eligibility, reviewed proposed rents, and conducted Housing Quality Standards inspections for the units. Remaining vouchers from the 141 enhanced vouchers that were awarded will help the UMHA to provide rental assistance to additional households on its waiting list. *Enhanced Voucher Assistance* refers to special vouchers available to tenants who would otherwise be adversely affected by HUD program decisions. Enhanced vouchers are generally issued to provide continued assistance for a family at the termination of project-based rental assistance.
4. In August 2014, the Federal Emergency Management Agency of the United States Department of Homeland Security awarded the UMHA a grant of \$363,672 to implement the Community Fire Safety Education Project (CFSEP). As part of this grant, Safe-T-elements® will be installed on ranges in public housing units to prevent stove fires. In addition, the project will involve a comprehensive fire prevention program targeted to housing authority residents, refugees, and the disabled as well as the installation of smoke alarms and home inspections. The Community Fire Safety Education Project (CFSEP), a collaboration of the Utica Municipal Housing Authority, Utica Fire Department, and the Mohawk Valley Resource Center for Refugees, aims to reduce injury and deaths caused by fire among fire fighters, low-income public housing residents, refugee populations, and persons with physical disabilities. Fires will be prevented through a coordinated community response consisting of: language specific and culturally appropriate fire education programming; installation of smart burner cooking systems within UMHA and home education visits and smoke alarm inspections/installations throughout the City of Utica and UMHA. The program is successfully meeting its objectives, has exceeded many goals, and has developed educational materials which may be replicated on a national basis. Smart burners have been installed on 471 public housing units ranges. Project partners modified and adapted USFA's "Fire is Everyone's Fight" campaign to meet the needs of each targeted population: refugees, individuals with disabilities and low income families. Fourteen fire safety and home safety videos in different languages with actors from the identified

communities have been developed. An additional twelve are nearly complete. Eighty two different print and audio flayers were developed in multiple languages on fire safety topics. Seven fire safety PowerPoint presentations have been developed in various languages. Eight refugee fire prevention safety advocates peer educators from different language group have been recruited and trained. Cultural competency trainings have been held for 133 housing authority and Fire Department staff. Sixteen training sessions on fire prevention and smart burners were held for public housing residents at various developments and languages. An additional 13 community outreach sessions in different languages targeted to refugees reached 261 people. Home visits were made to 108 public housing units on the use of safety ranges to ensure all residents receive hands-on and individualized prevention education. Home visits reinforced concepts learned in group sessions, but also addressed the needs of individuals that did not participate in group sessions. The remainder of the home visits will be completed in April. The project has enabled the partners to build an infrastructure to more accurately identify potential fire risks and deliver fire prevention education to Utica's most at risk and underserved populations (non-English speakers, disabled, refugees). In April and May 2015, the project partners will post on their websites the fire prevention educational materials developed through the program. Media and community outreach will be conducted to reach new audiences through social media, radio and TV talk shows, and language broadcasts. The program is engaged in an on-going process of evaluation to ascertain what operational lessons can be learned from the program. The program will work with FEMA to disseminate educational materials developed through the program.

5. The UMHA is in the process of installing security improvements as part of the New York State Housing Trust Fund Corporation's grant of \$168,850 to the UMHA's Chancellor Apartments. Security improvements such as LED lights, security cameras, emergency call system and gas powered emergency generator will ensure the safety and health of the senior and disabled residents of the development.
6. In conjunction with the City of Utica, the UMHA and its developer Norstar Development USA are seeking financing to construct scattered site affordable housing units in the City of Utica's Cornhill neighborhood. The Roosevelt Residences Project will involve the development of 50 multi-family units in 25 buildings at 11 sites. The project will consist of a resident center and property management office. A portion of the project will be built on the site of the former Roosevelt School. The project will continue the redevelopment of the Cornhill neighborhood and provide workforce housing for new residents of our area who will be working at the Nanocenter at SUNY Polytechnic Institute in Marcy. The project will be targeted to families with income at 60% of AMI. Although the project was not approved for 9% Low-Income Housing Tax Credits during the 2014 funding cycle, the project team intends to access other financing to develop the project including 4% LIHC, CDBG Disaster Assistance, and bond funding.

7. The UMHA operates nationally recognized resident and community service programs. In 2012, the New York State Commission on National & Community Service awarded the UMHA a three year grant of \$155,115 per year to deploy 12 full-time AmeriCorps members to implement the outcome-based Utica Public Housing AmeriCorps program. The Community Foundation also provided a grant of \$43,726 each year for the first three years which provided the necessary cash match which enabled the UMHA to implement the AmeriCorps grant. The program also received funding from the Workforce Investment Board and Upstate Cerebral Palsy and service coordination agreements with Soldier On, a national provider of homeless veteran services. The program is based upon Cornell Empowering Families Project's Family Development and Bridges out of Poverty anti-poverty reduction research-based model and deploys a rigorous evaluation protocol. To date, the program has served 545 local residents.

Our three-year AmeriCorps grant provides service coordination, job training/placement, and resident engagement activities. The accomplishments of the program include: Created a housing information and referral center which helped 247 community residents find or stabilize their housing and helped 12 families become homeowners; Developed a financial literacy program which helped 174 public housing residents to maintain their housing and prevented 35 evictions; Provided job readiness training to 152 residents and placed 76 into employment; Provided 212 households with coordinated case management services including service planning and referrals; Assisted 125 at-risk veterans and their family members to stabilize housing and receive benefits and support services; Assisted 22 disabled Upstate Cerebral Palsy clients transition to private apartments and attain employment readiness outcomes; Trained thirty-five youth Public Housing residents career exploration and job readiness through a \$6,500 Summer Youth Employment Program grant; Developed the Guardian Angel and Family Friends programs that help public residents maintain their housing.

During the past year, the Community Resource Department which provides resident service programs accomplished the following goals: job placements- 72; training placements- 94; enrolled in educational programs – 77; Completed Educational Programs – 29; Purchased Homes – 19; Enrolled in FSS – 53; Currently Escrowing with FSS -20; Completed GED- 16; Received Case Management - 113; Received Case Management- 113; Enrolled in ESL Classes- 36.

### **Barriers to Affordable Housing**

According to the National Association of Home Builders and Wells Fargo, during the 2014-2015 Program Year the Utica-Rome Metropolitan Statistical Area (MSA) continued to rank high (5<sup>th</sup> percentile) for housing affordability and was consistently one of the top five most affordable MSA's in the region. Despite the fact, however, that the City has maintained a high level of affordability, the area still has significant barriers to affordability affecting our low/moderate income residents. Specifically, and as identified in the 2014-2015 Annual Plan, barriers to affordable housing include the dilapidated state of the housing stock, insufficient safe and

affordable rental housing to meet the needs of the community, and difficulty attaining homeownership.

As noted in the HOME section of this report, the City of Utica, in conjunction with The Homeownership Center, put forth a significant effort to improve the state of the housing stock, specifically in the Center City neighborhood. These efforts focused on rehabilitating homeowner occupied and rental housing owned and/or occupied by low/moderate income residents. The rehabilitation not only helps maintain the units for a longer time and create a safer, healthier living environment, but it also adds energy efficiency improvements to the properties that help lower utility costs and increase savings. With the use of City of Utica HOME and CDBG funds, as well New York State AHC funds, the Homeownership Center was able to rehabilitate approximately twenty-five (25) units in the Center City Neighborhood.

In addition to the efforts to make homes more affordable through rehabilitation, the City also worked throughout the 2014-2015 Program Year to increase the availability of affordable rental housing. The Genesee Crossing Project completed which added a total of thirty-three (33) rental units, with nine (9) being developed during the 2014-2015 Program Year. All thirty-three (33) units are now occupied by income eligible tenants. Additionally, the rental rehabilitation project in the Center City Neighborhood, while improving the safety and affordability for the occupants has also helped to increase the availability of affordable rental units with rent limits for at least the next ten (10) years. Furthermore, the development steps taken for the Lincoln Ave Rental Rehabilitation project and Roosevelt Residence project will lead to the development of fifty-three (53) more units of affordable housing.

In addition to the efforts by the City to lower the cost of affordable housing through rehabilitation and housing development, efforts are also being made to increase economic opportunities to allow residents the ability to earn higher wages and thereby afford the costs associated with housing. To this end, the City of Utica has utilized its CDBG funds through the Economic Reinvestment Loan Program to incentivize the private sector to create jobs and hire individuals who are currently low- and moderate-income residents of the City of Utica. The Community Development section of this report details the various loans that were provided using CDBG funds to businesses tied to job creation.

For those residents who may be on the brink of homelessness, the City of Utica works closely with the Utica-Rome-Oneida County Continuum of Care in order to maintain a strong understanding of the needs associated with homelessness in our area. Additionally, the City of Utica continued to administer the Emergency Solutions Grant (ESG) 2014-2015 program year. As a result of this funding stream, the City of Utica was able to assist multiple programs that provide services to both the homeless and those whom are at risk of homelessness. As delineated in the Homeless section of this report, the Rapid Rehousing Program was able to assist a total of 381 individuals in breaking down barriers and obtaining affordable housing once again.

# HOMELESS

## Addressing Homeless Needs

The City of Utica Department of Urban & Economic Development is continuing to work closely with the Utica/Rome/Oneida County Continuum of Care (CoC). ESG Program Administrator, Chris Lawrence is a member of the Utica/Rome/Oneida County CoC board. This closeness with the community homeless agencies has proved to be very helpful as it allows each of our ESG Sub-recipients to address. Our overall strategy during the 2014-2015 program year has been to target our resources to the largest gaps (unmet needs) in the City; chief among those gaps is housing dedicated to homeless veterans in Utica. We have since received an application from the Utica Center for Development for the 15-16 program year. They intend to provide rapid rehousing to those veterans and their families who may be able to benefit from other programs due to dishonorable discharge or other barriers.

The City of Utica Department of Urban and Economic Development continued to work in cooperation with the Utica/Rome/Oneida County Continuum of Care. In addition to attending regular meetings, ESG Program Administrator Chris Lawrence and Section 8 Administrator Christine Pastorelli are board members. Working closely with the CoC allows our sub-recipients to feel comfortable asking questions in a more informal manner. Through monthly meetings, the City of Utica was able to react to feedback from the sub-recipients and ultimately make modifications to our operations in order to lessen their burden in some areas of reporting.

Prior to the advent of HMIS reporting, the City issued quarterly report forms to each sub-recipient. During CoC meetings, a few of those agencies questioned the relevancy of those quarterlies and we ultimately found them to be redundant. Linda Wilkinson of CNY Services was able to assist the City in assembling an HMIS report that could not only replace the standard quarterly, but provide more quality data. The only portion missing from the new reports is the written description of the quarter's activity.

During the 2014-2015 program year, the City of Utica Department of Urban & Economic Development in conjunction with the Utica/Rome/Oneida County Continuum of Care undertook the following activities in assisting the homeless:

- Provided Rapid Re-housing for 80 homeless persons in 52 homeless housing households so they could begin a cycle of stable housing again.
- Fully implemented an integrated planning process for ESG priorities and allocations that involved the Continuum of Care (CoC) Steering Committee and other CoC members serving Utica.
- At one CoC meeting it was suggested that the City should develop a scoring system for ranking and reviewing ESG applications. Four (4) members of the CoC board ranked each of the applications for the 15-16 year separately, and then met to compare & discuss their scores. Members involved were Steve Darman - MV Housing and Homeless Coalition, Chris Lawrence - City of Utica, Tom Labayewski – Hope House and Robin Robinson – United Way of the Valley and Greater Utica.

- All planning meetings and allocation decisions fully involved the CoC Chair and final funding decisions were made by the CoC Steering Committee (Board) which includes the City of Utica.
- Continued its support of Emergency Housing programs in Utica including shelters for DV victims,
- Central New York Services worked collaboratively with the Department of Urban and Economic Development in order to provide a more detailed glimpse in to the HMIS Data collected from sub recipients.
- The CoC Chair continued to work consistently with the City Planning Department and key homeless programs serving City residents have been maintained.

## **EMERGENCY SOLUTIONS GRANT**

### **Addressing Homeless Needs**

In the 2014-2015 program year, the City of Utica received Emergency Solution Grant funds in the total of \$166,157. The City of Utica divided this funding among four (4) sub recipients for six (6) activities which included: Johnson Park Center, Johnson Park Center Rapid Re-Housing program, John Bosco House, Hall House, Evelyn’s House and New Horizons.

With these limited funds, these six sub recipients provided housing services to various segments of the homeless and at-risk populations in our community. Young women are the focus of Johnson Park Center’s efforts while Hall House focuses on female victims of mental and physical abuse. New Horizons tries to assist homeless young women, while John Bosco House assists homeless young men.

Central New York Services was funded \$6,000 to Administer HMIS and also providing technical assistance and training. The City of Utica was provided with \$13,983 for administrative costs (capped at 7.5%). Through a combination of monitoring visits *and* utilization of the extensive data collected in HMIS, the City of Utica was able to provide a better explanation of how our ESG funds are being used and areas where help is needed.

### **Matching Resources**

Based on year-end progress reports that the Department of Urban & Economic Development utilizes to monitor its ESG subrecipients, the following amounts and sources of match have been documented for the 2014-2015 program year:

| Agency                                      | ESG \$           | Other \$          | Sources   |
|---|------------------|-------------------|---|
| YWCA – Hall House                           | 40,284           | 283,490           | DSS Per Diem, United Way, Other Grant funding , contributions   |
| JCP Homeless Housing Program                | 21,894           | 134,278           | NYS SHP, HUD, United Way, DSS, Shelter Plus Care, Food Bank   |
| John Bosco House                            | 17,514           | 17,514            | United Way Grant, Public Cash Donation  |
| Evelyn’s House for Young Mothers and Babies | 14,357           | 236,145           | HUD SHP Gran, DSS/Rent, CF Grant, Community Donations, NYS-OCFS (OC Youth Bureau) NYS Dept. of Health -Food Grant |
| YWCA New Horizon’s                          | 17,514           | 233,125           | HUD, DOH CACFP, OC DFY, DSS youth funds, United Way, Contributions  |
| JCP Rapid Re-Housing Program                | 54,594           | 54,594            | In-Kind, JPC Shelter  |
| <b>TOTAL</b>                                | <b>\$166,157</b> | <b>\$ 959,146</b> |   |

From this table, it is clear that the City of Utica, through its ESG subrecipients, has easily exceeded the dollar-for-dollar match requirement of the ESG Program.

### Activity and Beneficiary Data

In addition to the match information that the City requires all ESG subrecipients provide on the year-end program reports, the City also requires that they provide activity and beneficiary data. This information is helpful for monitoring each of the subrecipients activities, but also for providing the following information.

#### Hall House

Operated by YWCA of the Mohawk Valley, Hall House is a domestic violence shelter located in an undisclosed location within the City of Utica. This year it was able to safely shelter 187 individuals of which 79 were adults, 89 were children under the age of 16 years and 19 were between the ages of 16-20. Of the 187 individuals served 62 were White, 77 were African-American, and 33 were Hispanic, 13 were Asian and 2 were other.

#### New Horizons

Operated by the YWCA of the Mohawk Valley, New Horizon’s is a shelter which serves girls between the age of 16-21. The facility reported serving a total of 19 persons. Of those 19 persons, the majority (12) were young adults between the ages of 15 and 24. New Horizons

assisted 5 children ages 13-17 and 2 children less than 5 years of age. Racially, of the 19 persons assisted, 11 were white, 2 were African American and 6 were of multiple races. In terms of income levels, all of the 16 total were considered to be 'extremely low' income. Fifty percent of the adults served were victims of domestic violence.

### **Johnson Park Center (JPC)**

JPC reported serving a total of 130 individuals. The program served 103 Adults (3 male – 100 female) and 27 children under the age of 18. The racial breakdown was: 84 white, 28 African American, 2 Asian, 4 American Indian/Alaska Native and 8 multiple races. Of the 103 adults served, 47 have been victims of domestic violence.

### **JCP Rapid Rehousing Program**

JCP provided 80 individuals with services to find, secure and maintain permanent housing. This included 52 different households and 27 children. All households were documented homeless by the local Department of Social Services. Of the 80 served, the racial breakdown was: 39 White, 35 African American, 1 American Indian/Native Alaskan and 5 with multiple races. 27 of those served were under the age of 18, while 53 were adults over the age of 18. All persons served were considered to be 'extremely low' income. 23 of those served had a known mental illness, 4 suffered alcohol abuse, 5 drug abuse, 10 had chronic health conditions, 6 had a developmental disability and 11 had a physical disability. 14 of those served have been victims of domestic violence, 5 within 3 months of being assisted.

### **Evelyn's House for Young Mothers and Babies**

Operated by Family Nurturing Center, a subsidiary of Kids Oneida Inc. served a total of 37 individuals, of which 18 were under the age of 5 and 8 were young between the ages of 13-17 while 11 were ages 18-24. The racial breakdown was: 13 White, 6 African-American, 2 Asian, 1 American Indian/Alaska Native, 1 Native Hawaiian or Other Pacific Islander and 14 of multiple races. All 37 individuals were considered to be 'extremely low' income. 5 of those served had a known mental illness, 1 alcohol abuse, 1 drug abuse and 1 developmental disability. It is significant to note that 70% of adults served were past victims of domestic violence.

### **John Bosco House**

John Bosco House was able to assist 8 young men between the ages of 16 and 21. The racial breakdown was: 5 White, 1 African-American, 1 Asian and 1 multiple races. Each of the 8 individuals served were considered to be 'extremely low income'. 1 of the young men was a past victim of domestic violence.

### **Homeless Discharge Coordination**

With regard to the Discharge Coordination Policy, plans have been progressed relative to policies for four populations as follows:

### **Foster Care (youth aging out)**

Per NY State Office of Children and Family Services guidelines, the Oneida County Department of Social Services discharge planning protocol for youths leaving the foster care system requires the identification of any community and/or family resources for said youths. For youths being discharged to a relative or other caretaker, the Oneida County DSS reviews the safety of the home in which the youth is to be discharged, identifies sources of income for the caretaker(s), assesses the needs of the youth after discharge, and identifies available resources regarding these needs. For discharges into independent living, the County ensures that the youth is discharged into an appropriate residence (defined as any of the following: an apartment, small boarding home, room and board arrangement, or housing with relatives, friends, or former foster parents). Oneida County now has access to CoC-developed transitional housing programs for both single and parenting female youth age 16-21. If an appropriate residence is unavailable, the youth is referred for preventive housing services. The County also identifies sources of income and other support resources for the youth upon discharge. The County also performs an assessment of youth safety and needs upon discharge. Available services are identified based on identification of needs. Implementation dates for various parts of the above policies and protocols range from August 2003 to December 2006.

### **Health Care**

There are three hospitals in Utica/Rome/Oneida County CoC. All three hospitals are JCAHO (Joint Commission on the Accreditation of Health Care Organizations) accredited and in compliance with accreditation standards they employ social work staff to prevent homeless discharge. The removal of Crisis Service workers from working on site in hospital emergency rooms in 2009 led directly to the hiring of new hospital-based social workers who have added capacity to prevent homelessness upon discharge from the ER. These hospitals participate actively in the New York State Adult Single Point of Access and Accountability (ASPOAA) process (discussed in detail below under Mental Health) to ensure that those with a serious (Axis I diagnosis) mental health disability have housing when discharged. Implementation date for ASPOAA coordination of hospital discharge was June 2004.

### **Mental Health**

New York State Adult Single Point of Access and Accountability (ASPOA/A). Under section §29.15 (f), (g), (h) of Mental Hygiene Law, hospitals with inpatient psychiatric units are required to prepare a written service plan for all patients about to be discharged. The treatment plan must include supervision, medication, and aftercare services. The Oneida County Department of Mental Health monitors concerns and issues related to discharge planning in two ways. The first is that the County monitors discharge planning through the weekly ASPOA/A (Adult Single Point of Access and Accountability) process that is coordinated by the Oneida County Department of Mental Health (per New York State regulations). When individuals are nearing discharge, service needs and resources are discussed at ASPOA/A and a discharge plan with a housing component is formulated for high-risk, high-need situations (e.g. homelessness). The second way that the Department of Mental Health reviews and monitors discharge concerns is through annual license reviews of clinical and case management programs done in

collaboration with the New York State Office of Mental Health. ASPOA/A policies have been in place since 2004.

### **Corrections**

New York State Department of Parole (DOP) staff members work within State correctional facilities to administer pre-release applications and needs assessments for inmate discharge. Inmates with mental health impairments and/or developmental disabilities are referred for case management to the New York State Office of Mental Health (OMH) and/or the Office of Mental Retardation and Developmental Disabilities (OMRDD). Parole personnel also provide direct referrals to community-based providers when follow-up care, treatment needs, or housing problems are indicated. Depending on the case, Parole field staff may be involved with some offenders after discharge. Beginning in 2006, Oneida County developed a Prisoner Reentry Task Force with a full-time coordinator/case manager who works in conjunction with the Utica Parole Office to identify individuals who will be released to Oneida County within 90 days, send information to these individuals prior to discharge, and work one-on-one with released prisoners to make sure they have housing when released and that other service needs (ID documents, pre-employment in particular) are met. The Reentry Task Force has dedicated funds to prevent homelessness. Implementation date for Parole discharge policies and procedures was April, 2004. Implementation of the Oneida County Reentry Task Force was June, 2006.

## **COMMUNITY DEVELOPMENT**

### **Assessment of Relationship of CDBG Funds to Goals and Objectives**

As with the Annual Plans for the two previous program years, the 2014-2015 Annual Action Plan continued to place a strong emphasis on targeting Community Development Block Grant (CDBG) funds at specific areas of the City, including the Bleecker Street/International Marketplace corridor, Bagg's Square, Oneida Square/Genesee Street Arts & Culture neighborhood and the Center City neighborhood.

Due to the timing of the late submission of the 2014-2015 Annual Action Plan (based on the allocation of funding by Congress) and the short construction season in upstate New York, most of the work in the targeted areas was not initiated in the 2014-2015 program year. Instead, most of that work will be performed in the current 2015-2016 program year

One of the largest single expenditure of CDBG funds in the 2014-2015 program year was for an activity that was not included in the Annual Plan that was submitted to HUD. The demolition of the former Roosevelt Elementary School consumed nearly \$800,000 and required a substantial amendment. While the adaptive re-use of the building had always been a priority of the City, multiple attempts to market the property to a private developer were unsuccessful for years. Finally, in 2014, the partial collapse of the building forced the City to address the blighted building, particularly given the proximity of the building to the adjacent, densely-populated

residential neighborhood. While the expenditure for the demolition was probably one of the largest single activities in the City's recent history, the clearance resolves a long-standing concern in that neighborhood and paves the way for low- to moderate-income housing of a scale that is much more compatible with the surrounding neighborhood.

Public services continued to be an emphasis in the 2014-2015 program year. Of the \$134,500 that was budgeted for public services, all but \$8,200 was expended, thereby exhibiting the need that the various not-for-profits that carry out these services on behalf of the City have for these funds. The following narrative summarizes the various programs that were funded, along with their accomplishments.

### **The Boys & Girls Clubs of the Mohawk Valley**

The Boys & Girls Club provides after-school programming for City of Utica youth. A number of programs are offered at the Parkway Center. Children from the ages of 6-12 years old are bused to the Center after school by the City of Utica School District. They are able to attend the Center from 3:00 pm – 6:00 pm at which time their parent picks them up with proper sign-out security procedures in place. The teen center is open from 6:00 pm – 9:00 pm for 13 – 18 year olds. Numerous programs are offered which are of interest to teens.

Programs are designed primarily for disadvantaged – inner city at risk youth. The programs serve a diverse population in the City of Utica. 60% of the youth of the programs are African American, 11% are Caucasian, 15% are Hispanic and 14% are other racial categories.

Several of the programs offered aim to improve the youth's level of academic proficiency. The Project Learn program is designed to provide youth (6-12) with homework help, literacy and academic assistance and remediation. A healthy snack is provided daily along with nutritional instruction. Project Learn also provides the youth with the opportunity to enjoy recreational and athletic activities along with instruction on healthy life styles and life skills. The Teen Passport program is intended to provide youth (13-18) with a myriad of activities such as technology, life skills, drug and alcohol awareness, gang prevention, career/college preparation, conflict resolution, healthy lifestyles and civic/community activities.

Approximately 120 youth visit the club daily for both age groups.

### **Center for Family Life and Recovery, Inc – Compeer Program**

The Compeer program serves adults, veterans and their families, youth and the elderly with volunteer mentoring and supportive friendship programs. The measurable outcomes consistently rove effective year after year through positive survey results on individuals' improved self-esteem, and reintegration into family, home, faith and community and increased likelihood of employment; overall quality of life.

In order to participate with Compeer programming, the individuals must be referred by their mental health provider. Skill building and recreational activities are offered at least three times

per month for the clients to participate in along with the regularly scheduled programming. These programs include Lunch Buddies, Pen Pals/Email Buddies and Compeer Calling.

The Lunch Buddies program allows Compeer volunteers to meet a referred child for lunch once a week within the school environment. The volunteer serves as a positive role model/mentor for the child and provides social and emotional support. During this lunch period, a quiet place is used to meet, away from the general school population. Games, activities and crafts are provided for this interaction. In addition, the lunch buddy mentors can assist in tutoring or helping the youth with school work as requested by the student's teacher. The lunch buddy volunteer mentor and youth remain matched in the program throughout the academic year. At the end of the school year, the volunteer and youth have the opportunity to continue in the program as a 1:1 match or Pen Pal for the summer.

Pen Pals/Email Buddies is a match which is made and relationships built through writing. Many times a volunteer might start as an email buddy and then move to a 1:1 match because of the enjoyment it brings to the client.

Compeer Calling is a mentoring program over the phone. Many of the volunteers travel for work and set aside time to call the clients while they are on the road or away for home. Also this works well for retired folks who still like to volunteer but do not have the means to meet with the client.

The Compeer Program provides a critical service for its clients and the community as a whole through much needed support to individuals living with mental illness.

#### **JCTOD Outreach, Inc – Johnson Park Center**

The JPC Outreach, Inc. Drop-In Youth Enrichment Program is designed to address the need for wholesome recreation, support in learning, literacy and school success, promote self-esteem, skill building, social interaction, personal growth and neighborhood community involvement while providing the necessary discipline to enable youth to strive for and achieve positive life goals. Program staff and volunteers serve as positive role models and mentors for the children, many of whom are from single parents, female head of households.

Activities include computer instruction, a reading center, arts and crafts, life skills training, cultural awareness, substance abuse awareness and prevention campaigns and events, access to arts and crafts, computers and books and a variety of physical activities including basketball and kickball.

The Enrichment Youth Program is geared toward teaching both life skills and academic skills. In the past year, computer programs and dinnertime reading with comprehension questions have been added to the program plan.

The program is located at 26 Johnson Park which is centrally located within the Cornhill section of the City of Utica. According to the 2012 US American Community Survey, 51% of the neighborhood families received food and 61% live below the poverty level.

### **North Utica Senior Citizens Recreation Center, Inc.**

The North Utica Senior Citizens Recreation Center, Inc is an intergenerational center that provides educational, social, recreational, and health and wellness activities to seniors and to over 120 children in the state licensed school age, pre-school, and Universal Pre-K programs. Although the CDBG funds committed to the Center are designated for senior programming, the intergenerational program includes social, emotional, spiritual and creative components to meet the needs of the senior and child participants' creative, physical and educational needs providing each person with a wide range of classes, activities, seminars and events that strengthen families, boost self-esteem, foster independence and enrich their quality of life.

The Center is an Oneida County congregate dining site and many seniors depend on the daily meal served. This meal may be the only nutritional meal they eat each day. If you couple that with the important socialization that goes along with that meal, it reinforces the importance of being able to provide it. The need for seniors to eat healthy, stay active, get out and socialize is imperative to positive aging. Everything the center offers is designed to insure this happens. The center schedules regular health screenings (blood pressure, cataract, bone density, abdominal aneurysm, and depression) to take a proactive approach to disease diagnosis and management. They host an annual flu shot clinic each fall and offer classes on chronic disease management to allow seniors access to care they may otherwise not seek. The AARP Drive Smart course is offered bi-monthly. Every week the center provides a seminar or workshop on important information for seniors – tips on preventing identity theft, reverse mortgages, health care proxies, long term care insurance options, disaster preparation, home safety and more. All activities, classes, seminars, workshops and special events are designed to meet all the needs of the seniors. The new fitness center component has been recently added to the program. The fitness center allows them to add more classes with state of the art machinery to help seniors stay fit and healthy. All the programs provide opportunities for senior involvement in the planning, increase their awareness, knowledge, self-esteem, and provide avenues for nurturing and mentoring in turn enriching their lives.

### **The Parkway Center**

The Parkway Center's Health and Wellness Programs for Seniors is to help enhance the quality of life of older adults so they can remain independent and healthy, active members of the community. The programs are designed to give seniors programs and information to assist them in remaining independent as well as to have information available to make healthy choices for their lives.

The Parkway Center has developed intergenerational programming that has become an important part of the health and wellness program for seniors. One program the seniors particularly enjoy is the partnership with Utica College's Physical Therapy Program. UC's PT program provides a weekly program called "STEPS" (Students Training Elderly Prevention and

Safety). The students are learning skills necessary for their career growth and senior participants are benefitting from those skills to enhance their quality of life. They also both benefit from the relationships they develop with one another during the semester.

The Parkway Center is centrally located in the City of Utica with over 1,000 members. The Center provides outreach to the greater senior community with health promotions and exercise programs at other facilities in the city that house senior living such as Utica MHA, Kennedy Plaza, Mt. Carmel Apts., Brook Apts., and West Side Senior Center.

The Center offers daily schedules of programs, broken down by a tri-semester that address access to services, fitness, health, wellness, nutrition, education, recreation, social and intergenerational activities. By providing programs that enhance quality of life physically as well as mentally, the senior remain healthier and more independent longer as proven by statistics. In addition to regular programs, the Parkway Center offers workshops, guest speakers and health screenings to help its members remain informed and healthier as their lives change.

One of the top concerns for older adults is access to services. The Center hosts two transportation programs. One is to transport members from their homes to the Center four times a week. The other is medical transportation which transports them to medical appointments. Both of these programs help them remain independent and active.

#### **Resource Center for Independent Living, Inc.**

The CDBG funding enables the employment of a low-income individual to operate the SNAP/EBT card machine at the City of Utica Farmers Market. The Farmers Market is held at Chancellor Park between Elizabeth and Bleecker Streets. The Clientele is exclusively low income individuals utilizing their SNAP/EBT cards to purchase fresh fruits and vegetables.

The community served with within a census tract identified by the Oneida County Health Department's Community Health Assessment as having the highest incidence of, and above the state average for diabetes, heart disease and strokes. Furthermore, the Department of Health and Human Services report for Community Health Status Indicators lists lack of access to fresh fruits and vegetables as the leading contributing factor to the chronic diseases identified. The distance to the nearest grocery store for this population is approximately 2.5 miles.

Increased use of SNAP/EBT cards at the market have enabled the City of Utica to receive leveraging funds equaling the requested amounts for administrative support through monetary coupons issued by NYS Ag & Markets (\$250 in \$2 coupons to be distributed in the 2014 season) and an additional \$2,000 from the CNY Foodbank in \$2 coupons to also be distributed to SNAP users through the 2014 season. With additional leveraging funds from RCIL totaling \$300, a total of \$2,550 has been leveraged on the \$2,500 CDBG investment.

Sales have consistently increased year after year at the market meaning low income individuals are purchasing increased amounts of fresh fruits and vegetables from local businesses, creating not only healthier people but economic development for small businesses as well.

**Utica Public Library**

The Utica Public Library is a site for the East Utica Literacy Zone with GED instruction available five mornings each week. The Earl Childhood Literacy Program builds on the Library’s dedication to neighborhood revitalization and literacy enhancement.

The Library has continued its tradition of providing literacy opportunities for children from birth to five years of age. This program includes a dedicated and trained Early Literacy Coordinator who is implementing a comprehensive and effective early literacy program that is based on current brain development and educational research.

The Early Childhood Literacy Program has provided the following:

- Literacy programs for pre-schoolers – traditional story times and other literacy based activities;
- Workshops for daycare providers and pre-school teachers that present the latest methods on integrating literacy activities into the day;
- Parent/child programs that teach the parent how to integrate literacy activities into the daily home life;
- Appropriate instructional materials including books, DVDs, literacy kits to borrow and educational toys.

These programs have taken place at community sites. Strong partnerships have been created with organizations that serve children in poverty such as the Neighborhood Center, Headstart and the Thea Bowman Center.

**Utica Safe Schools Healthy Students Partnership, Inc**

Utica Safe Schools Healthy Students Partnership, Inc. (USSHS) utilizes CDBG dollars for support of the Underground Café Teen Center. Through this center, USSHS transforms the experiences and perceptions of Utica’s low-income and high-risk teens by providing venues for leadership and self-expression. The Center provides comprehensive services to Proctor High School students in the after school, school breaks, evening and weekend hours. Programs include, but are not limited to the following: resiliency and leadership training, college preparation, career exploration, homework assistance, mentoring, recreational activities, drug and alcohol prevention, pregnancy prevention, social skills, community service opportunities and team building activities.

In May of 2014, the youth helped transition to a new location at the Plymouth Bethesda/Cornerstone Community Church at 500 Plant Street. Equipped with a gym, game room, recording studio and art space, this new home for USSHS provided them with all the amenities of the former location and some new and exciting opportunities to expand and grow the programs through the creative power of youth voice.

During the 2014-2015 year, 532 youth participated in programming at the Underground Café. 65% of those youth were African American, 17% Asian, 9% Hispanic and 9% Caucasian. These youth gave back over 474.5 hours of service to our community through ten different service initiatives. Partaking in things like graffiti removal, intergenerational cleanups, the build a bike program among several others, our kids truly made a difference!

Thirty-two youth graduated from the Urban Leadership Institute where youth were taught critical leadership skills for the 21<sup>st</sup> century. Teamwork, communication, decision making and various leadership styles were all skills gained by the youth involved.

The ultimate goal is to help youth find success through education bettering their opportunities for a brighter future.

- 56% of youth improved their GPA's (48% of those youth improved by 5+ points);
- 48% of youth improved or had "0" missed days of school (44% of those youth improved by 5 or more days);
- 77% of youth improved or had "0" Office Discipline Referrals (32% of those improving, improved by 5 or more ODRs);
- 84% improved or had "0" out of school suspensions.

### **West Side Senior Center**

The West Side Senior Center is focused on the senior community to provide a comprehensive daily exercise program that promotes healthy ranges of motion, muscle growth and function, proper joint function and health, healthy cardiovascular function and overall wellness.

The Center has increased daily programming which includes coffee club which promotes socialization and camaraderie amongst the seniors, the revitalization of the popular pool club, morning and afternoon movie matinees that feature both current and classic movies, and book and card clubs.

### **Young Scholars Liberty Partnerships Program – Utica College**

The Young Scholars Liberty Partnerships Program (YSLPP) is a multi-year program designed by the Utica City School District (UCSD) and Utica College officials to meet the challenge of motivating a diverse population of at-risk students to stay in school, earn a New York State Regents Diploma with Advanced Designation, and pursue post-secondary education.

The YSLPP serves students in the UCSD who have been nominated by their sixth grade teachers as students who show potential for academic success but who may be hampered by negative environmental circumstances. From seventh grade until their high school graduation, students selected to participate in the YSLPP attend tutoring sessions in their UCSD school twice each week, receive academic and social counseling, complete community service projects, and attend enrichment activities. Approximately 180 YSLPP youth who are entering seventh to ninth grades participate in summer school sessions held at Utica College; tenth through twelfth grade Young Scholars participate in educational field trips and college/career exploration as part of their summers.

- This is the 22<sup>nd</sup> year serving over 1000 students of promise in the City of Utica; currently serving 349 students in grades 7-12.
- 93% graduation rate for the 16 classes that have graduated.
- 87% of all YSLPP graduates earned Regents or Advanced Regents diplomas.
- Since 2005, 86% of YSLPP graduates enrolled in college;
- 160 YSLPP students have served as summer interns in the local community;

YSLPP alumni have been accepted or graduated from Cornell University, Fashion Institute of Technology, Hamilton College, Harvard University, Massachusetts Institute of Technology, New York University, Russell Sage College, St. Elizabeth College of Nursing, SUNY Brockport, SUNY Oswego, Syracuse University, University of Rochester Medical School, University of Vermont, Utica College, Vassar College and Yale University.

### **Changes in Program Objectives**

The 2014-2015 program year represents the third year of Mayor Palmieri's administration. When Mayor Palmieri came into office, he directed the staff of the Department of Urban & Economic Development to look at targeted all funding (local, state and federal) at specific areas, corridors or neighborhoods. As a result, specific areas, corridors and neighborhoods were selected; those areas have witnessed considerable investment and definite change is starting to become evident with private investment on an upswing in those areas.

While no immediate change is planned in program objectives based on the 2014-2015 program year, thought is being given to the identification and selection of new areas, corridors or neighborhoods to target in the coming years.

### **Assessment of Efforts in Carrying out Planned Actions**

All CDBG funds expended have been in accordance with two of the three HUD National Objectives, either for the benefit of low- to moderate-income persons or the elimination of slums and blight. The City has not cited urgent need as a valid National Objective for any activity, nor does it anticipate doing so in the future.

After many years of limited activity, the 2014-2015 program year saw a considerable increase in loan activity for new or expanding businesses in the City of Utica that were committed to creating employment opportunities for low- to moderate-income persons. A total of \$290,000 was loaned during the course of the program year. A number of factors can likely be cited as reasons for the increase – from improved economic conditions locally to the City's focus of CDBG funds on targeted areas, corridors and neighborhoods. The following section details the various loans that were made during the year.

The City of Utica did not get involved in activities that involve anti-displacement or relocation with CDBG funds in the 2014-2015 program year.

In its administration of CDBG funds during the 2014-2015 Annual Action Plan program year, the City of Utica did not hinder Consolidated Plan implementation either by action or willful inaction.

### **Low/Mod Job Activities**

In the 2014-2015 program year, the City of Utica granted a total of five loans to businesses from its economic development activity line, a significant increase from the loans approved in the previous program year. As weak economic conditions during that year were cited as the cause for the diminished interest, it can be assumed that improved economic conditions, both locally and nationwide, are at the root of renewed interest in the City's loan program.

Following are the details on the five approved loans:

#### **Bella Regina, LLC**

Bella Regina is a re-make of a well-known family restaurant previously located in North Utica called Bella Mia Restaurant. Bella Regina will be located in the former Chatterbox Lounge facility on Genesee Street and Bank Place in downtown Utica. Ms. Piacentino will be investing personal equity in the amount of \$70,000 toward the project and is seeking financing in the amount of \$10,000 from the City of Utica to be used toward working capital. One (1) full-time employee will be created.

#### **Austin Mohawk & Company**

Austin Mohawk & Co. is a designer and manufacturer of a broad range of pre-manufactured structures including guard and parking booths, stadium press boxes, bus and passenger waiting shelters and overhead metal canopies, especially of the type commonly associated with gas station [convenience stores] pump islands. They have a single 38,000 square foot facility located at 2175 Beechgrove Avenue. Austin Mohawk has requested \$200,000 of permanent working capital to assist them with their significant new business orders. Five (5) new full-time employees will be hired as a result of the project.

#### **Nimey Estates, LLC**

Currently located on the corner of Bleecker and Culver Streets in the City of Utica, the Nimey project entailed purchasing the 4 acre parcel on the corner of Culver and Dwyer Avenues and constructing a new 16,400 square foot facility. The move is necessary due to maximum capacity reached at the current location. The owners will invest \$82,000 in the facility while Adirondack Bank will provide a \$747,000 construction loan. The company has requested a loan from the ERP Program in the amount of \$75,000 to be used for Furniture, Fixtures and Equipment. A total of five (5) full-time employees will be created.

#### **Primo Property Mgmt, LLC**

Primo Property Management, LLC (PPM) is a company formed to redevelop, among other sites and properties, the former HSBC Building located at 520 Seneca Street in downtown Utica. After many years of neglect and deterioration, the Pezzolanella family has chosen to purchase

this property that had been slated for demolition and create a Class-A residential and office building complete with rooftop restaurant and a private residential garage. Landmarc is projected to house 31 residential loft-style units with a mix of Studio, 1, 2 and 3 bedroom units on the upper floors with office/retail on the first floor/basement. PPM will have a substantial capital injection of approximately \$1,135,000 into the project and will secure a \$3,500,000 loan through Bank of Utica. Additional funding will be provided through NYS in the amount of \$400,000 for Phase I (\$800,000 for Phase II) obtained through the CFA process and \$210,000 through National Grid. PPM has requested a loan in the amount of \$150,000 to be used for equipment.

### **Karate School Dragon**

Karate School Dragon is a martial arts school owned by Sulejman Latic located at 249 Bleecker Street. Mr. Latic has operated the school for a number of years in Utica. While the dojo is located in the back of the building, the front half has a small retail space for healthy snacks and juices, martial arts attire and equipment and parent waiting area. Mr. Latic is looking to expand the food offerings by purchasing an ice cream machine. Mr. Latic has requested a JumpStart Loan in the amount of \$5,000 to be used for equipment. Mr. Latic will likewise invest \$5,000 toward the project. One (1) full-time employee will be created.

### **Antipoverty Strategy**

In order to effectuate a successful antipoverty strategy, it is imperative that individuals from all walks of life are able to be involved and have impute in the decision making process. This principal was the foundation of one the most significant steps taken by the City during the 2014-2015 program year: the Utica Community Needs Assessment (CNA). Through substantial assistance from the HUD-Albany Field Office, the City was able to engage with the residents of the City, in an unprecedented way, to develop a CNA process focused on community input and engagement.

The CNA process began with three roundtable events focusing on nine separate issues that were identified by the City to be areas of need. These events brought together non-profit organization working in the community, educators from various levels of academia, realtors, employment agencies, leaders from industries such as banking, healthcare and insurance, for-profit and non-profit housing developers, HUD officials, New York State officials, local government officials, and City of Utica officials to identify areas of need within the City, existing programs that could be expanded to meet needs and new program ideas which would address areas of need that are not being met.

Following the roundtable discussions, two comprehensive community surveys were developed. The first survey was a general community survey that was available to members of the community, in multiple languages, on-line, at the senior centers, at the public library, and at the refugee center. The second survey was a youth survey which was provided to students at the public high school during their English classes. The general community survey received 1,024 responses and the youth survey received 1,454 responses. As a result of this wide-spread action

of community participation, individuals responding came from an array of socio-economic, ethnic/racial, and age ranges; thus providing the City with a unique and diverse assessment of the needs of the community and the programmatic mechanics that will be able to effectively address those needs. Following the close of the CNA process, the City, with assistance from Cornell Cooperative Extension, the roundtable chairpersons, and HUD, analyzed the substantial data that was collected and developed a comprehensive 2-Year Action Plan focused on decreasing poverty and addressing the most significant needs identified. This 2-Year Action Plan will be carried out during the 2015-2016 and 2016-2017 Program Years.

The CNA process and development of the 2-Year Action Plan was far from the only effort by the City to fight poverty during the 2014-2015 Program Year. Increasing economic opportunities is a vital component to decreasing poverty and as such the City provided the economic development loans described above created economic opportunities for residents. However, these loans are only one portion of the City's overall strategy as they provide direct financial assistance to for-profit entities. Economic development can and does include other methods as well, including:

- Fostering an environment for job creation;
- Reducing the cost of doing business for for-profit entities;
- Aggressively marketing City-owned properties and privately-owned parcels to developers and businesses that are an appropriate match to the particular neighborhood.

Staff within the City's Department of Urban & Economic Development, including those funded through CDBG funds and those funded through other means, diligently market the City to businesses; that marketing extends to potential new businesses to the City, existing area businesses that might be encouraged to relocate or expand into the City and existing City businesses that are looking to grow either at its current location or at a new location in the City. Department staff works closely with the City's Urban Renewal Agency (the real estate arm of the City of Utica) to market City-owned parcels to potential businesses. As a result of this substantial effort to market the City, not only are properties put back on the tax roll and rehabilitated,, but often time new employment opportunities are developed; many of which go to local residents. Department staff also keeps tabs on privately-owned land that is available for sale or lease within the City that might meet the needs of an expanding, relocating or new business.

Mayor Palmieri brings his background in sales to the office of Mayor and his enthusiasm and persistence has fostered an aggressive marketing style and effort throughout the Department of Urban & Economic Development. During the Mayor's first term in office, a long list of prominent economic development announcements has developed, including:

- The sale and rehabilitation of a Downtown Utica anchor to a local developer who has created the Landmarc building, a mixed-use building which will including loft apartments, ground floor commercial space and a roof-top bar and restaurant. Galaxy

Communications, Express Employment and Ocean Blue have been announced as commercial tenants for the building;

- Omni Surgical Center, an ambulatory surgical center which has been developed on a highly visible, previously vacant site and will create approximately 20 new jobs;
- Basset Healthcare will be locating an operational support center in a previously vacant, downtown building located directly next to the landmark “Gold Dome” M&T Bank. The expansion of Basset to downtown Utica is expected to bring 125 new jobs over the next five years.
- Sale to Hayner Hoyt of the former “Conmed Building” a downtown location taken by the City for back taxes which will result in a \$4.5 million dollar investment which is being marked as a mixed-use development to include loft apartments, office space, and light manufacturing;

In addition to the economic opportunities that have been developed, and the ever growing list of business moving to and expanding in the City, the City has also made efforts to fight poverty through service providers and development of housing opportunities. Through the City of Utica HOME Program, sixteen (16) units of affordable housing were developed and/or rehabilitated and the City is working with developers to rehabilitate and/or create 100 more units over the next two (2) years. Services providers have successfully aided low/moderate children, seniors, and families through programs aimed at childhood education, job training, health and wellness, and assisting seniors to age-in-place.

**PR02**

**2014-2015 List of Activities by Project  
(CDBG/HOME/ESG)**

U.S. Department of Housing and Urban Development  
 Office of Community Planning and Development  
 Integrated Disbursement and Information System  
 List of Activities By Program Year And Project  
 UTICA,NY

REPORT FOR CPD PROGRAM CDBG  
 PGM YR 2014

| Plan Year | IDIS Project | Project                            | IDIS Activity ID | Activity Name  | Activity Status | Program | Funded Amount       | Draw Amount         | Balance             |
|-----------|--------------|------------------------------------|------------------|--|-----------------|---------|---------------------|---------------------|---------------------|
| 2014      | 1            | Economic Reinvestment Loan Program | 1434             | ERP Loan Control Account   | Open            | CDBG    | \$0.00              | \$0.00              | \$0.00              |
|           |              |                                    | 1440             | Bella Regina, LC   | Open            | CDBG    | \$10,000.00         | \$10,000.00         | \$0.00              |
|           |              |                                    | 1441             | Austin Mohawk and Company, LLC                                     | Open            | CDBG    | \$50,000.00         | \$50,000.00         | \$0.00              |
|           |              |                                    | 1442             | Nimey Estates, LLC   | Completed       | CDBG    | \$75,000.00         | \$75,000.00         | \$0.00              |
|           |              |                                    | 1448             | Primo Property Management, LLC                                     | Open            | CDBG    | \$150,000.00        | \$150,000.00        | \$0.00              |
|           |              |                                    | 1457             | Karate School Dragon - Latic                                       | Open            | CDBG    | \$5,000.00          | \$5,000.00          | \$0.00              |
|           |              | <b>Project Total</b>               |                  |  |                 |         | <b>\$290,000.00</b> | <b>\$290,000.00</b> | <b>\$0.00</b>       |
|           | 2            | Section 108 Repayment              | 1445             | Section 108 Repayment  | Open            | CDBG    | \$287,725.00        | \$281,713.28        | \$6,011.72          |
|           |              | <b>Project Total</b>               |                  |  |                 |         | <b>\$287,725.00</b> | <b>\$281,713.28</b> | <b>\$6,011.72</b>   |
|           | 3            | Public Services                    | 1462             | Boys and Girls Club of the Mohawk Valley                           | Open            | CDBG    | \$20,000.00         | \$19,999.25         | \$0.75              |
|           |              |                                    | 1463             | Johnson Park Center JPC Drop-In Youth Program                      | Open            | CDBG    | \$13,000.00         | \$13,000.00         | \$0.00              |
|           |              |                                    | 1464             | Ulica College Young Scholars Program                               | Open            | CDBG    | \$25,000.00         | \$25,000.00         | \$0.00              |
|           |              |                                    | 1465             | Compeer of the Mohawk Valley                                       | Open            | CDBG    | \$3,000.00          | \$3,000.00          | \$0.00              |
|           |              |                                    | 1466             | Ulica Safe Schools-The Underground Cafe Teen Drop In Center        | Open            | CDBG    | \$20,000.00         | \$11,730.50         | \$8,269.50          |
|           |              |                                    | 1467             | West Side Senior Center  | Open            | CDBG    | \$12,000.00         | \$11,985.00         | \$15.00             |
|           |              |                                    | 1468             | North Ulica Senior Citizens Recreation Center, Inc.                | Open            | CDBG    | \$19,500.00         | \$19,500.00         | \$0.00              |
|           |              |                                    | 1469             | Parkway Senior Center  | Open            | CDBG    | \$19,500.00         | \$19,500.00         | \$0.00              |
|           |              |                                    | 1470             | RCIL Farmers Market  | Open            | CDBG    | \$2,500.00          | \$2,500.00          | \$0.00              |
|           |              | <b>Project Total</b>               |                  |  |                 |         | <b>\$134,500.00</b> | <b>\$126,214.75</b> | <b>\$8,285.25</b>   |
|           | 6            | Administration CDBG Program        | 1475             | General Administration-Indirect Costs                              | Open            | CDBG    | \$152,117.00        | \$124,059.00        | \$28,058.00         |
|           |              |                                    | 1476             | General Administration   | Open            | CDBG    | \$252,461.75        | \$144,652.46        | \$107,809.29        |
|           |              | <b>Project Total</b>               |                  |  |                 |         | <b>\$404,578.75</b> | <b>\$268,711.46</b> | <b>\$135,867.29</b> |
|           | 7            | Roosevelt Residences               | 1477             | Roosevelt Residence Site Clearance                                 | Open            | CDBG    | \$769,524.91        | \$734,790.91        | \$34,734.00         |
|           |              | <b>Project Total</b>               |                  |  |                 |         | <b>\$769,524.91</b> | <b>\$734,790.91</b> | <b>\$34,734.00</b>  |
|           | 8            | Public Facilities and Improvements | 1478             | Street Improvements-Amy Ave (Sunset Ave to Genesee St)             | Open            | CDBG    | \$18,400.00         | \$18,400.00         | \$0.00              |
|           |              |                                    | 1479             | Street Improvements-Genesee St (Memorial Parkway to Sherman Place) | Open            | CDBG    | \$95,680.00         | \$95,680.00         | \$0.00              |
|           |              |                                    | 1480             | Street Improvements-Mohawk Street (Rutger Street to South Street)  | Open            | CDBG    | \$62,560.00         | \$62,560.00         | \$0.00              |
|           |              |                                    | 1481             | Street Improvements-Rutger Street (Conkling Ave to Mohawk Street)  | Open            | CDBG    | \$66,240.00         | \$66,240.00         | \$0.00              |
|           |              |                                    | 1482             | Street Improvements-West St (Pleasant Street to James Street)      | Open            | CDBG    | \$62,560.00         | \$62,560.00         | \$0.00              |

U.S. Department of Housing and Urban Development  
 Office of Community Planning and Development  
 Integrated Disbursement and Information System  
 List of Activities By Program Year And Project  
 UTICA, NY

| Plan Year | IDIS Project | Project                            | IDIS Activity ID | Activity Name   | Activity Status | Program | Funded Amount  | Draw Amount    | Balance      |
|-----------|--------------|------------------------------------|------------------|---|-----------------|---------|----------------|----------------|--------------|
| 2014      | 8            | Public Facilities and Improvements | 1483             | Street Improvements-Lenox Ave (Oswego Street to Noyes Street) | Open            | CDBG    | \$62,560.00    | \$62,560.00    | \$0.00       |
|           |              | Project Total                      |                  |   |                 |         | \$368,000.00   | \$368,000.00   | \$0.00       |
|           | 10           | Streetscape Projects               | 1492             | Streetscapes Program Delivery                                 | Open            | CDBG    | \$30,000.00    | \$19,445.15    | \$10,554.85  |
|           |              | Project Total                      |                  |   |                 |         | \$30,000.00    | \$19,445.15    | \$10,554.85  |
|           |              | Program Total                      |                  |   |                 |         | \$2,284,328.66 | \$2,088,875.55 | \$195,453.11 |
|           |              | 2014 Total                         |                  |   |                 |         | \$2,284,328.66 | \$2,088,875.55 | \$195,453.11 |
|           |              | Program Grand Total                |                  |   |                 |         | \$2,284,328.66 | \$2,088,875.55 | \$195,453.11 |
|           |              | Grand Total                        |                  |   |                 |         | \$2,284,328.66 | \$2,088,875.55 | \$195,453.11 |

U.S. Department of Housing and Urban Development  
 Office of Community Planning and Development  
 Integrated Disbursement and Information System  
 List of Activities By Program Year And Project  
 UTICA,NY

REPORT FOR CPD PROGRAM HOME  
 PGM YR 2014

| Plan Year | IDIS Project | Project                                   | IDIS Activity ID | Activity Name  | Activity Status | Program | Funded Amount       | Draw Amount         | Balance            |
|-----------|--------------|---|------------------|--|-----------------|---------|---------------------|---------------------|--------------------|
| 2014      | 4            | CHDO Operations                           | 1480             | Johnson Park Center CHDO Opps                              | Completed       | HOME    | \$15,000.00         | \$15,000.00         | \$0.00             |
|           |              |   | 1491             | UNHS CHDO Opps   | Open            | HOME    | \$10,000.00         | \$0.00              | \$10,000.00        |
|           |              | <b>Project Total</b>                      |                  |  |                 |         | <b>\$25,000.00</b>  | <b>\$15,000.00</b>  | <b>\$10,000.00</b> |
|           | 9            | Center City HOME Homeowner Occupied Rehab | 1484             | UNHS Center City Homeowner Occupied Rehab: 25 Scott Street | Completed       | HOME    | \$57,993.00         | \$57,993.00         | \$0.00             |
|           |              |   | 1485             | UNHS Center City Homeowner Rehab: 128 Eagle Street         | Completed       | HOME    | \$58,055.00         | \$58,055.00         | \$0.00             |
|           |              |   | 1486             | UNHS Center City Homeowner Rehab: 169 Pleasant Street      | Open            | HOME    | \$57,086.00         | \$57,086.00         | \$0.00             |
|           |              | <b>Project Total</b>                      |                  |  |                 |         | <b>\$173,134.00</b> | <b>\$173,134.00</b> | <b>\$0.00</b>      |
| 44        |              | <b>Program Total 2014 Total</b>           |                  |  |                 |         | <b>\$188,134.00</b> | <b>\$188,134.00</b> | <b>\$10,000.00</b> |
|           |              | <b>Program Grand Total</b>                |                  |  |                 |         | <b>\$198,134.00</b> | <b>\$188,134.00</b> | <b>\$10,000.00</b> |
|           |              | <b>Grand Total</b>                        |                  |  |                 |         | <b>\$198,134.00</b> | <b>\$188,134.00</b> | <b>\$10,000.00</b> |

U.S. Department of Housing and Urban Development  
 Office of Community Planning and Development  
 Integrated Disbursement and Information System  
 List of Activities By Program Year And Project  
 UTICA,NY

REPORT FOR CPD PROGRAM HESG  
 PGM YR 2014

| Plan Year | IDIS Project | Project             | IDIS Activity ID | Activity Name                 | Activity Status | Program | Funded Amount | Draw Amount | Balance     |
|-----------|--------------|---------------------|------------------|-------------------------------|-----------------|---------|---------------|-------------|-------------|
| 2014      | 5            | ESG 14 Utica        | 1471             | ESG 14 Data Collection (HMIS) | Open            | HESG    | \$6,000.00    | \$6,000.00  | \$0.00      |
|           |              |                     | 1472             | ESG 14 Rapid Rehousing        | Open            | HESG    | \$54,594.00   | \$18,849.62 | \$35,744.38 |
|           |              |                     | 1473             | ESG 14 Shelter                | Open            | HESG    | \$97,206.00   | \$61,090.64 | \$36,115.36 |
|           |              |                     | 1474             | ESG 14 Administration         | Open            | HESG    | \$13,983.00   | \$9,113.03  | \$4,869.97  |
|           |              | Project Total       |                  |                               |                 | HESG    | \$171,783.00  | \$95,053.29 | \$76,729.71 |
|           |              | Program Total       |                  |                               |                 | HESG    | \$171,783.00  | \$95,053.29 | \$76,729.71 |
|           |              | 2014 Total          |                  |                               |                 | HESG    | \$171,783.00  | \$95,053.29 | \$76,729.71 |
|           |              | Program Grand Total |                  |                               |                 | HESG    | \$171,783.00  | \$95,053.29 | \$76,729.71 |
|           |              | Grand Total         |                  |                               |                 | HESG    | \$171,783.00  | \$95,053.29 | \$76,729.71 |

**PR26**

**CDBG  
Financial Summary**



Office of Community Planning and Development  
 U.S. Department of Housing and Urban Development  
 Integrated Disbursement and Information System  
 PR26 - CDBG Financial Summary Report  
 Program Year 2014  
 UTICA, NY

DATE: 06-12-15  
 TIME: 8:42  
 PAGE: 1

**PART I: SUMMARY OF CDBG RESOURCES**

|   |              |
|---|--------------|
| 01 UNEXPENDED CDBG FUNDS AT END OF PREVIOUS PROGRAM YEAR  | 4,654,012.18 |
| 02 ENTITLEMENT GRANT                                      | 2,215,778.00 |
| 03 SURPLUS URBAN RENEWAL                                  | 0.00         |
| 04 SECTION 108 GUARANTEED LOAN FUNDS                      | 0.00         |
| 05 CURRENT YEAR PROGRAM INCOME                            | 251,679.36   |
| 05a CURRENT YEAR SECTION 108 PROGRAM INCOME (FOR SI TYPE) | 6,814.23     |
| 06 RETURNS  | 0.00         |
| 07 ADJUSTMENT TO COMPUTE TOTAL AVAILABLE                  | 0.00         |
| 08 TOTAL AVAILABLE (SUM, LINES 01-07)                     | 7,121,469.54 |

**PART II: SUMMARY OF CDBG EXPENDITURES**

|  |              |
|--|--------------|
| 09 DISBURSEMENTS OTHER THAN SECTION 108 REPAYMENTS AND PLANNING/ADMINISTRATION | 2,003,156.51 |
| 10 ADJUSTMENT TO COMPUTE TOTAL AMOUNT SUBJECT TO LOW/MOD BENEFIT               | 51,901.97    |
| 11 AMOUNT SUBJECT TO LOW/MOD BENEFIT (LINE 09 + LINE 10)                       | 2,055,058.48 |
| 12 DISBURSED IN IDIS FOR PLANNING/ADMINISTRATION                               | 568,928.19   |
| 13 DISBURSED IN IDIS FOR SECTION 108 REPAYMENTS                                | 281,713.28   |
| 14 ADJUSTMENT TO COMPUTE TOTAL EXPENDITURES                                    | 31,856.95    |
| 15 TOTAL EXPENDITURES (SUM, LINES 11-14)                                       | 2,937,556.90 |
| 16 UNEXPENDED BALANCE (LINE 08 - LINE 15)                                      | 4,183,912.64 |

**PART III: LOWMOD BENEFIT THIS REPORTING PERIOD**

|  |              |
|--|--------------|
| 17 EXPENDED FOR LOW/MOD HOUSING IN SPECIAL AREAS | 0.00         |
| 18 EXPENDED FOR LOW/MOD MULTI-UNIT HOUSING       | 734,790.91   |
| 19 DISBURSED FOR OTHER LOW/MOD ACTIVITIES        | 1,123,294.50 |
| 20 ADJUSTMENT TO COMPUTE TOTAL LOW/MOD CREDIT    | 0.00         |
| 21 TOTAL LOW/MOD CREDIT (SUM, LINES 17-20)       | 1,858,085.41 |
| 22 PERCENT LOW/MOD CREDIT (LINE 21/LINE 11)      | 90.42%       |

**LOW/MOD BENEFIT FOR MULTI-YEAR CERTIFICATIONS**

|   |                            |
|---|----------------------------|
| 23 PROGRAM YEARS(PY) COVERED IN CERTIFICATION                         | PY: 2013 PY: 2014 PY: 2015 |
| 24 CUMULATIVE NET EXPENDITURES SUBJECT TO LOW/MOD BENEFIT CALCULATION | 4,488,619.37               |
| 25 CUMULATIVE EXPENDITURES BENEFITING LOW/MOD PERSONS                 | 3,899,342.00               |
| 26 PERCENT BENEFIT TO LOW/MOD PERSONS (LINE 25/LINE 24)               | 86.87%                     |

**PART IV: PUBLIC SERVICE (PS) CAP CALCULATIONS**

|   |              |
|---|--------------|
| 27 DISBURSED IN IDIS FOR PUBLIC SERVICES                        | 187,570.10   |
| 28 PS UNLIQUIDATED OBLIGATIONS AT END OF CURRENT PROGRAM YEAR   | 22,204.50    |
| 29 PS UNLIQUIDATED OBLIGATIONS AT END OF PREVIOUS PROGRAM YEAR  | 22,781.40    |
| 30 ADJUSTMENT TO COMPUTE TOTAL PS OBLIGATIONS                   | 0.00         |
| 31 TOTAL PS OBLIGATIONS (LINE 27 + LINE 28 - LINE 29 + LINE 30) | 186,993.20   |
| 32 ENTITLEMENT GRANT  | 2,215,778.00 |
| 33 PRIOR YEAR PROGRAM INCOME                                    | 0.00         |
| 34 ADJUSTMENT TO COMPUTE TOTAL SUBJECT TO PS CAP                | 0.00         |
| 35 TOTAL SUBJECT TO PS CAP (SUM, LINES 32-34)                   | 2,215,778.00 |
| 36 PERCENT FUNDS OBLIGATED FOR PS ACTIVITIES (LINE 31/LINE 35)  | 8.44%        |

**PART V: PLANNING AND ADMINISTRATION (PA) CAP**

|  |              |
|--|--------------|
| 37 DISBURSED IN IDIS FOR PLANNING/ADMINISTRATION               | 568,928.19   |
| 38 PA UNLIQUIDATED OBLIGATIONS AT END OF CURRENT PROGRAM YEAR  | 31,856.95    |
| 39 PA UNLIQUIDATED OBLIGATIONS AT END OF PREVIOUS PROGRAM YEAR | 118,665.25   |
| 40 ADJUSTMENT TO COMPUTE TOTAL PA OBLIGATIONS                  | 0.00         |
| 41 TOTAL PA OBLIGATIONS (LINE 37 + LINE 38 - LINE 39 +LINE 40) | 482,119.89   |
| 42 ENTITLEMENT GRANT   | 2,215,778.00 |
| 43 CURRENT YEAR PROGRAM INCOME                                 | 251,679.36   |
| 44 ADJUSTMENT TO COMPUTE TOTAL SUBJECT TO PA CAP               | 0.00         |
| 45 TOTAL SUBJECT TO PA CAP (SUM, LINES 42-44)                  | 2,467,457.36 |
| 46 PERCENT FUNDS OBLIGATED FOR PA ACTIVITIES (LINE 41/LINE 45) | 19.54%       |



Office of Community Planning and Development  
 U.S. Department of Housing and Urban Development  
 Integrated Disbursement and Information System  
 PR26 - CDBG Financial Summary Report  
 Program Year 2014  
 UTICA, NY

DATE: 06-12-15  
 TIME: 8:42  
 PAGE: 2

**LINE 17 DETAIL: ACTIVITIES TO CONSIDER IN DETERMINING THE AMOUNT TO ENTER ON LINE 17**

Report returned no data.

**LINE 18 DETAIL: ACTIVITIES TO CONSIDER IN DETERMINING THE AMOUNT TO ENTER ON LINE 18**

| Plan Year    | IDIS Project | IDIS Activity | Activity Name                      | Matrix Code | National Objective | Drawn Amount        |
|--------------|--------------|---------------|------------------------------------|-------------|--------------------|---------------------|
| 2014         | 7            | 1477          | Roosevelt Residence Site Clearence | 04          | LMH                | \$734,790.91        |
|              |              |               |                                    | <b>04</b>   | <b>Matrix Code</b> | <b>\$734,790.91</b> |
| <b>Total</b> |              |               |                                    |             |                    | <b>\$734,790.91</b> |

**LINE 19 DETAIL: ACTIVITIES INCLUDED IN THE COMPUTATION OF LINE 19**

| Plan Year | IDIS Project | IDIS Activity | Voucher Number | Activity Name  | Matrix Code | National Objective | Drawn Amount        |
|-----------|--------------|---------------|----------------|--|-------------|--------------------|---------------------|
| 2013      | 4            | 1488          | 5808789        | DeSales Center   | 03          | LMC                | \$10,000.00         |
| 2014      | 10           | 1492          | 5804049        | Streetscapes Program Delivery                                      | 03          | LMA                | \$19,445.15         |
|           |              |               |                |  | <b>03</b>   | <b>Matrix Code</b> | <b>\$29,445.15</b>  |
| 2010      | 12           | 1228          | 5733910        | PARK AND PLAYGROUND IMPROVEMENTS                                   | 03F         | LMA                | \$9,657.59          |
| 2012      | 7            | 1458          | 5758868        | Quinn Playground Improvements                                      | 03F         | LMA                | \$2,094.00          |
| 2012      | 7            | 1459          | 5758868        | HIRT Playground Improvements                                       | 03F         | LMA                | \$3,669.40          |
|           |              |               |                |  | <b>03F</b>  | <b>Matrix Code</b> | <b>\$15,420.99</b>  |
| 2014      | 8            | 1478          | 5781809        | Street Improvements-Amy Ave (Sunset Ave to Genesee St)             | 03K         | LMA                | \$18,400.00         |
| 2014      | 8            | 1479          | 5781809        | Street Improvements-Genesee St (Memorial Parkway to Sherman Place) | 03K         | LMA                | \$95,680.00         |
| 2014      | 8            | 1480          | 5781809        | Street Improvements-Mohawk Street (Rutger Street to South Street)  | 03K         | LMA                | \$62,560.00         |
| 2014      | 8            | 1481          | 5781809        | Street Improvements-Rutger Street (Conkling Ave to Mohawk Street)  | 03K         | LMA                | \$66,240.00         |
| 2014      | 8            | 1482          | 5781809        | Street Improvements-West St (Pleasant Street to James Street)      | 03K         | LMA                | \$62,560.00         |
| 2014      | 8            | 1483          | 5781809        | Street Improvements-Lenox Ave (Oswego Street to Noyes Street)      | 03K         | LMA                | \$62,560.00         |
|           |              |               |                |  | <b>03K</b>  | <b>Matrix Code</b> | <b>\$368,000.00</b> |
| 2012      | 4            | 1334          | 5750383        | Demolition: 1129 Kossuth Ave                                       | 04          | LMA                | \$14,142.06         |
| 2012      | 4            | 1335          | 5750383        | Demolition: 709 Court Street                                       | 04          | LMA                | \$421.91            |
| 2012      | 4            | 1336          | 5750383        | Demolition: 720 Court Street                                       | 04          | LMA                | \$1,828.33          |
| 2012      | 4            | 1372          | 5750383        | Demolition: 713 Catherine Street                                   | 04          | LMA                | \$8,784.98          |
| 2012      | 4            | 1373          | 5750383        | Demolition: 513 Mohawk Street                                      | 04          | LMA                | \$21,440.67         |
| 2012      | 4            | 1374          | 5750383        | Demolition: 1243 Lincoln Ave                                       | 04          | LMA                | \$10,515.74         |
| 2012      | 4            | 1375          | 5750383        | Demolition: 402 Lansing Street                                     | 04          | LMA                | \$32,644.58         |
| 2013      | 11           | 1437          | 5707696        | Demolition: 1535 Sunset Ave  | 04          | LMA                | \$14,878.78         |
| 2013      | 11           | 1437          | 5750383        | Demolition: 1535 Sunset Ave  | 04          | LMA                | \$3,265.76          |
| 2013      | 11           | 1438          | 5707696        | Demolition: 954-956 Sunset Ave                                     | 04          | LMA                | \$30,030.91         |
| 2013      | 11           | 1438          | 5750383        | Demolition: 954-956 Sunset Ave                                     | 04          | LMA                | \$1,547.04          |
|           |              |               |                |  | <b>04</b>   | <b>Matrix Code</b> | <b>\$139,500.76</b> |
| 2013      | 3            | 1413          | 5719821        | Family Nurturing Center of Central New York                        | 05          | LMC                | \$5,000.00          |
| 2013      | 3            | 1415          | 5719821        | Johnson Park Center JPC Drop-In Youth Program                      | 05          | LMC                | \$11,698.15         |
| 2013      | 3            | 1415          | 5769140        | Johnson Park Center JPC Drop-In Youth Program                      | 05          | LMC                | \$1,301.85          |
| 2013      | 3            | 1418          | 5719821        | Utica Safe Schools-The Underground Cafe Teen Drop In Center        | 05          | LMC                | \$8,129.00          |
| 2013      | 3            | 1461          | 5769140        | MOHAWK VALLEY LATINO ASSOCIATION                                   | 05          | LMC                | \$4,000.00          |
| 2013      | 3            | 1493          | 5813231        | Utica Public Library   | 05          | LMC                | \$5,000.00          |
| 2014      | 3            | 1468          | 5770666        | North Utica Senior Citizens Recreation Center, Inc.                | 05          | LMC                | \$19,500.00         |
| 2014      | 3            | 1469          | 5770666        | Parkway Senior Center  | 05          | LMC                | \$19,500.00         |
| 2014      | 3            | 1470          | 5809185        | RCIL Farmers Market  | 05          | LMC                | \$2,500.00          |
|           |              |               |                |  | <b>05</b>   | <b>Matrix Code</b> | <b>\$76,629.00</b>  |
| 2012      | 2            | 1332          | 5746213        | PARKWAY SENIOR CENTER  | 05A         | LMC                | \$384.40            |



Office of Community Planning and Development  
 U.S. Department of Housing and Urban Development  
 Integrated Disbursement and Information System  
 PR26 - CDBG Financial Summary Report  
 Program Year 2014  
 UTICA , NY

DATE: 06-12-15  
 TIME: 8:42  
 PAGE: 3

| Plan Year    | IDIS Project | IDIS Activity | Voucher Number | Activity Name   | Matrix Code | National Objective | Drawn Amount          |
|--------------|--------------|---------------|----------------|---|-------------|--------------------|-----------------------|
| 2014         | 3            | 1467          | 5770666        | West Side Senior Center                                     | 05A         | LMC                | \$11,985.00           |
|              |              |               |                |   | <b>05A</b>  | <b>Matrix Code</b> | <b>\$12,369.40</b>    |
| 2012         | 2            | 1343          | 5709911        | Utica Public Library Early Childhood Literacy Program       | 05D         | LMC                | \$11,712.00           |
| 2012         | 2            | 1443          | 5709911        | CHILDRENS MUSEUM  | 05D         | LMC                | \$5,000.00            |
| 2012         | 2            | 1487          | 5796257        | NEIGHBORHOOD INVESTMENT ASSOCIATION                         | 05D         | LMC                | \$3,629.95            |
| 2013         | 3            | 1447          | 5719821        | Compeer of the Mohawk Valley                                | 05D         | LMC                | \$3,000.00            |
| 2014         | 3            | 1462          | 5770666        | Boys and Girls Club of the Mohawk Valley                    | 05D         | LMC                | \$10,817.25           |
| 2014         | 3            | 1462          | 5804049        | Boys and Girls Club of the Mohawk Valley                    | 05D         | LMC                | \$9,182.00            |
| 2014         | 3            | 1463          | 5804049        | Johnson Park Center JPC Drop-In Youth Program               | 05D         | LMC                | \$13,000.00           |
| 2014         | 3            | 1464          | 5770666        | Utica College Young Scholars Program                        | 05D         | LMC                | \$25,000.00           |
| 2014         | 3            | 1465          | 5770666        | Compeer of the Mohawk Valley                                | 05D         | LMC                | \$1,500.00            |
| 2014         | 3            | 1465          | 5804049        | Compeer of the Mohawk Valley                                | 05D         | LMC                | \$1,500.00            |
| 2014         | 3            | 1466          | 5804049        | Utica Safe Schools-The Underground Cafe Teen Drop In Center | 05D         | LMC                | \$11,730.50           |
|              |              |               |                |   | <b>05D</b>  | <b>Matrix Code</b> | <b>\$96,071.70</b>    |
| 2011         | 21           | 1430          | 5707696        | RCIL Farmers Market   | 05M         | LMC                | \$2,500.00            |
|              |              |               |                |   | <b>05M</b>  | <b>Matrix Code</b> | <b>\$2,500.00</b>     |
| 2014         | 1            | 1440          | 5723151        | Bella Regina, LC  | 18A         | LMJ                | \$119.74              |
| 2014         | 1            | 1440          | 5744396        | Bella Regina, LC  | 18A         | LMJ                | \$9,880.26            |
| 2014         | 1            | 1441          | 5723151        | Austin Mohawk and Company, LLC                              | 18A         | LMJ                | \$50,000.00           |
| 2014         | 1            | 1442          | 5723151        | Nimey Estates, LLC  | 18A         | LMJ                | \$18,474.01           |
| 2014         | 1            | 1442          | 5744396        | Nimey Estates, LLC  | 18A         | LMJ                | \$56,525.99           |
| 2014         | 1            | 1448          | 5744396        | Primo Property Management, LLC                              | 18A         | LMJ                | \$150,000.00          |
| 2014         | 1            | 1457          | 5759060        | Karate School Dragon - Latic                                | 18A         | LMJ                | \$5,000.00            |
|              |              |               |                |   | <b>18A</b>  | <b>Matrix Code</b> | <b>\$290,000.00</b>   |
| 2007         | 6            | 918           | 5744396        | ERP PROGRAM DELIVERY  | 18B         | LMCSV              | \$3,945.00            |
| 2012         | 6            | 1354          | 5709911        | ERP Program Delivery  | 18B         | LMJ                | \$32,252.95           |
| 2012         | 6            | 1354          | 5723151        | ERP Program Delivery  | 18B         | LMJ                | \$236.58              |
| 2013         | 6            | 1421          | 5800014        | ERP Program Delivery  | 18B         | LMJ                | \$13,236.41           |
| 2013         | 6            | 1421          | 5804049        | ERP Program Delivery  | 18B         | LMJ                | \$15,920.36           |
| 2013         | 6            | 1421          | 5809185        | ERP Program Delivery  | 18B         | LMJ                | \$3,458.50            |
| 2013         | 6            | 1421          | 5812890        | ERP Program Delivery  | 18B         | LMJ                | \$24,307.70           |
|              |              |               |                |   | <b>18B</b>  | <b>Matrix Code</b> | <b>\$93,357.50</b>    |
| <b>Total</b> |              |               |                |   |             |                    | <b>\$1,123,294.50</b> |

**LINE 27 DETAIL: ACTIVITIES INCLUDED IN THE COMPUTATION OF LINE 27**

| Plan Year | IDIS Project | IDIS Activity | Voucher Number | Activity Name   | Matrix Code | National Objective | Drawn Amount       |
|-----------|--------------|---------------|----------------|---|-------------|--------------------|--------------------|
| 2013      | 3            | 1413          | 5719821        | Family Nurturing Center of Central New York                 | 05          | LMC                | \$5,000.00         |
| 2013      | 3            | 1415          | 5719821        | Johnson Park Center JPC Drop-In Youth Program               | 05          | LMC                | \$11,698.15        |
| 2013      | 3            | 1415          | 5769140        | Johnson Park Center JPC Drop-In Youth Program               | 05          | LMC                | \$1,301.85         |
| 2013      | 3            | 1418          | 5719821        | Utica Safe Schools-The Underground Cafe Teen Drop In Center | 05          | LMC                | \$8,129.00         |
| 2013      | 3            | 1461          | 5769140        | MOHAWK VALLEY LATINO ASSOCIATION                            | 05          | LMC                | \$4,000.00         |
| 2013      | 3            | 1493          | 5813231        | Utica Public Library  | 05          | LMC                | \$5,000.00         |
| 2014      | 3            | 1468          | 5770666        | North Utica Senior Citizens Recreation Center, Inc.         | 05          | LMC                | \$19,500.00        |
| 2014      | 3            | 1469          | 5770666        | Parkway Senior Center                                       | 05          | LMC                | \$19,500.00        |
| 2014      | 3            | 1470          | 5809185        | RCIL Farmers Market   | 05          | LMC                | \$2,500.00         |
|           |              |               |                |   | <b>05</b>   | <b>Matrix Code</b> | <b>\$76,629.00</b> |
| 2012      | 2            | 1332          | 5746213        | PARKWAY SENIOR CENTER                                       | 05A         | LMC                | \$384.40           |
| 2014      | 3            | 1467          | 5770666        | West Side Senior Center                                     | 05A         | LMC                | \$11,985.00        |
|           |              |               |                |   | <b>05A</b>  | <b>Matrix Code</b> | <b>\$12,369.40</b> |
| 2012      | 2            | 1343          | 5709911        | Utica Public Library Early Childhood Literacy Program       | 05D         | LMC                | \$11,712.00        |
| 2012      | 2            | 1443          | 5709911        | CHILDRENS MUSEUM  | 05D         | LMC                | \$5,000.00         |
| 2012      | 2            | 1487          | 5796257        | NEIGHBORHOOD INVESTMENT ASSOCIATION                         | 05D         | LMC                | \$3,629.95         |



Office of Community Planning and Development  
 U.S. Department of Housing and Urban Development  
 Integrated Disbursement and Information System  
 PR26 - CDBG Financial Summary Report  
 Program Year 2014  
 UTICA, NY

DATE: 06-12-15  
 TIME: 8:42  
 PAGE: 4

| Plan Year    | IDIS Project | IDIS Activity | Voucher Number | Activity Name   | Matrix Code | National Objective | Drawn Amount        |
|--------------|--------------|---------------|----------------|---|-------------|--------------------|---------------------|
| 2013         | 3            | 1447          | 5719821        | Compeer of the Mohawk Valley                                | 05D         | LMC                | \$3,000.00          |
| 2014         | 3            | 1462          | 5770666        | Boys and Girls Club of the Mohawk Valley                    | 05D         | LMC                | \$10,817.25         |
| 2014         | 3            | 1462          | 5804049        | Boys and Girls Club of the Mohawk Valley                    | 05D         | LMC                | \$9,182.00          |
| 2014         | 3            | 1463          | 5804049        | Johnson Park Center JPC Drop-In Youth Program               | 05D         | LMC                | \$13,000.00         |
| 2014         | 3            | 1464          | 5770666        | Utica College Young Scholars Program                        | 05D         | LMC                | \$25,000.00         |
| 2014         | 3            | 1465          | 5770666        | Compeer of the Mohawk Valley                                | 05D         | LMC                | \$1,500.00          |
| 2014         | 3            | 1465          | 5804049        | Compeer of the Mohawk Valley                                | 05D         | LMC                | \$1,500.00          |
| 2014         | 3            | 1466          | 5804049        | Utica Safe Schools-The Underground Cafe Teen Drop In Center | 05D         | LMC                | \$11,730.50         |
|              |              |               |                |   | <b>05D</b>  | <b>Matrix Code</b> | <b>\$96,071.70</b>  |
| 2011         | 21           | 1430          | 5707696        | RCIL Farmers Market   | 05M         | LMC                | \$2,500.00          |
|              |              |               |                |   | <b>05M</b>  | <b>Matrix Code</b> | <b>\$2,500.00</b>   |
| <b>Total</b> |              |               |                |   |             |                    | <b>\$187,570.10</b> |

**LINE 37 DETAIL: ACTIVITIES INCLUDED IN THE COMPUTATION OF LINE 37**

| Plan Year    | IDIS Project | IDIS Activity | Voucher Number | Activity Name                         | Matrix Code | National Objective | Drawn Amount        |
|--------------|--------------|---------------|----------------|---------------------------------------|-------------|--------------------|---------------------|
| 2010         | 1            | 1208          | 5682410        | GENERAL ADMINISTRATION                | 21A         |                    | \$9,778.44          |
| 2010         | 1            | 1208          | 5733910        | GENERAL ADMINISTRATION                | 21A         |                    | \$4,087.16          |
| 2012         | 1            | 1330          | 5709911        | GENERAL ADMINISTRATION                | 21A         |                    | \$101,327.45        |
| 2013         | 7            | 1422          | 5707696        | General Administration                | 21A         |                    | \$11,570.72         |
| 2013         | 7            | 1422          | 5709911        | General Administration                | 21A         |                    | \$72,125.51         |
| 2013         | 7            | 1422          | 5719821        | General Administration                | 21A         |                    | \$49,709.66         |
| 2013         | 7            | 1422          | 5758033        | General Administration                | 21A         |                    | \$2,010.27          |
| 2013         | 7            | 1422          | 5758868        | General Administration                | 21A         |                    | \$444.56            |
| 2013         | 7            | 1422          | 5762691        | General Administration                | 21A         |                    | \$214.21            |
| 2013         | 7            | 1422          | 5769140        | General Administration                | 21A         |                    | \$41,145.43         |
| 2013         | 7            | 1422          | 5770666        | General Administration                | 21A         |                    | \$4,702.18          |
| 2013         | 7            | 1422          | 5774361        | General Administration                | 21A         |                    | \$3,101.14          |
| 2014         | 6            | 1476          | 5774361        | General Administration                | 21A         |                    | \$24,174.21         |
| 2014         | 6            | 1476          | 5785538        | General Administration                | 21A         |                    | \$6,068.22          |
| 2014         | 6            | 1476          | 5796257        | General Administration                | 21A         |                    | \$728.80            |
| 2014         | 6            | 1476          | 5800014        | General Administration                | 21A         |                    | \$28,661.12         |
| 2014         | 6            | 1476          | 5804049        | General Administration                | 21A         |                    | \$56,733.44         |
| 2014         | 6            | 1476          | 5809185        | General Administration                | 21A         |                    | \$220.62            |
| 2014         | 6            | 1476          | 5812890        | General Administration                | 21A         |                    | \$28,066.05         |
| 2014         | 6            | 1476          | 5813786        | General Administration                | 21A         |                    | \$28,059.00         |
|              |              |               |                |                                       | <b>21A</b>  | <b>Matrix Code</b> | <b>\$472,928.19</b> |
| 2014         | 6            | 1475          | 5774361        | General Administration-Indirect Costs | 21B         |                    | \$48,000.00         |
| 2014         | 6            | 1475          | 5812890        | General Administration-Indirect Costs | 21B         |                    | \$48,000.00         |
|              |              |               |                |                                       | <b>21B</b>  | <b>Matrix Code</b> | <b>\$96,000.00</b>  |
| 1994         | 1            | 1             | 5679455        | HOME COMMITTED FUNDS ADJUSTMENT       | 21H         |                    | (\$247,893.04)      |
| 1994         | 1            | 1             | 5679456        | HOME COMMITTED FUNDS ADJUSTMENT       | 21H         |                    | \$140,645.70        |
| 1994         | 1            | 1             | 5679457        | HOME COMMITTED FUNDS ADJUSTMENT       | 21H         |                    | \$107,247.34        |
|              |              |               |                |                                       | <b>21H</b>  | <b>Matrix Code</b> | <b>\$0.00</b>       |
| <b>Total</b> |              |               |                |                                       |             |                    | <b>\$568,928.19</b> |

**PR33**

**HOME  
Match Liability Report**

U.S. Department of Housing and Urban Development  
 Office of Community Planning and Development  
 Integrated Disbursement and Information System  
 Home Matching Liability Report

DATE: 06-08-15  
 TIME: 10:32  
 PAGE: 1

UTICA, NY

| Fiscal Year | Match Percent | Total Disbursements | Disbursements Requiring Match | Match Liability Amount |
|-------------|---------------|---------------------|-------------------------------|------------------------|
| 1998        | 12.5%         | \$644,470.66        | \$644,470.66                  | \$80,558.83            |
| 1999        | 12.5%         | \$152,501.00        | \$152,501.00                  | \$19,062.62            |
| 2000        | 12.5%         | \$1,118,394.59      | \$1,118,394.59                | \$139,799.32           |
| 2001        | 12.5%         | \$494,782.70        | \$450,341.67                  | \$56,292.70            |
| 2002        | 12.5%         | \$439,553.36        | \$277,100.25                  | \$34,637.53            |
| 2003        | 0.0%          | \$287,645.71        | \$0.00                        | \$0.00                 |
| 2004        | 0.0%          | \$484,222.68        | \$0.00                        | \$0.00                 |
| 2005        | 0.0%          | \$828,630.47        | \$0.00                        | \$0.00                 |
| 2006        | 0.0%          | \$1,120,540.52      | \$0.00                        | \$0.00                 |
| 2007        | 0.0%          | \$1,258,059.69      | \$0.00                        | \$0.00                 |
| 2008        | 0.0%          | \$1,054,455.42      | \$0.00                        | \$0.00                 |
| 2009        | 0.0%          | \$617,981.25        | \$0.00                        | \$0.00                 |
| 2010        | 0.0%          | \$1,576,927.91      | \$0.00                        | \$0.00                 |
| 2011        | 0.0%          | \$292,023.72        | \$0.00                        | \$0.00                 |
| 2012        | 0.0%          | \$375,891.10        | \$0.00                        | \$0.00                 |
| 2013        | 0.0%          | \$66,980.53         | \$0.00                        | \$0.00                 |
| 2014        | 0.0%          | \$1,156,424.85      | \$0.00                        | \$0.00                 |

**PR56**

**CDBG**

**Timeliness Report**

U.S. Department of Housing and Urban Development  
 Office of Community Planning and Development  
 Integrated Disbursement and Information System

DATE: 06-08-15  
 TIME: 10:34  
 PAGE: 1

Current CDBG Timeliness Report  
 Grantee : UTICA, NY

| PGM YEAR | PGM START DATE | TIMELINESS TEST DATE | CDBG GRANT AMT | --- LETTER OF CREDIT BALANCE --- |                 | DRAW RATIO |       | MINIMUM DISBURSEMENT TO MEET TEST |                                   |
|----------|----------------|----------------------|----------------|----------------------------------|-----------------|------------|-------|-----------------------------------|-----------------------------------|
|          |                |                      |                | UNADJUSTED                       | ADJUSTED FOR PI | UNADJ      | ADJ   | UNADJUSTED                        | ADJUSTED                          |
| 2014     | 04-01-14       | 01-31-15             | 2,215,778.00   | 3,321,488.71                     | 3,847,932.01    | 1.50       | 1.74  |                                   |                                   |
| 2015     | 04-01-15       | 01-31-16             | UNAVAILABLE    | 2,643,483.11                     | 3,155,277.50    | *****      | ***** |                                   | GRANT UNAVAILABLE FOR CALCULATION |

# **HOME Loan Portfolio**

## City of Utica HOME Program Loan Portfolio

| Year | Loan Name   | Organization                        | Amount        | Term      | Status   | Activity Goal   | Notes   |
|------|---|-------------------------------------|---------------|-----------|--|---|---|
| 2015 | Lincoln Ave Rental Rehabilitation Project                                   | Biano & Son Realty, LLC             | \$ 42,000.00  | 2015-220  | Open: Under Construction                         | Rehabilitation of a 6 unit apartment building in which 3 units will be HOME Units (floating) and 3 units will be market rate. Each unit is 2 bedroom. | Project is under contract for the HOME Investment and the construction process is underway. Completion anticipated for Fall of 2015.  |
| 2014 | UNHS SAFE Program Year 2  | UNHS                                | \$ 100,000.00 | 2014-2016 | Open: Preparing for Site Selection               | Rehabilitation of low/mod owned and occupied 1-4 unit homes in the City of Utica that are occupied by Seniors in need of substantial repairs.         | Project is under contract and UNHS is in the process of undergoing site selection based upon the list of eligible recipients that has been developed.   |
| 2014 | Center City Homeowner Occupied Rehabilitation                               | UNHS                                | \$ 226,024.50 | 2014-2017 | Open: Underway                                   | Rehabilitation of low/mod owned and occupied 1-4 unit homes in the "Center City" Target Area  | Project is progressing according to schedule. 4 units have been completed and one unit is under construction which will deplete all associated funds.   |
| 2014 | Center City Rental Rehab  | UNHS                                | \$ 226,024.50 | 2014-2017 | Open: Underway and completing for Site Selection | Develop Rental Housing for low/mod citizens through the rehabilitation of rental units in the "Center City" Target area                               | Under Contract, a list of potential sites has been created and UNHS has identified two sites for rehabilitation. Staff is currently working to determine eligibility of other sites based upon eligibility and the per-unit cap   |
| 2014 | UNHS CHDO Opps  | UNHS                                | \$ 10,000.00  | 2014-2015 | Open   | Funding for Operating Costs of a City of Utica Community Housing Development Organization   | Operation has been certified as a CHDO and is carrying out a CHDO activity - City Rehab Project (Rental Rehab). Additionally, CHDO is working with City to develop additional projects including a Rental Acquisition and Rehabilitation Project. Funds under this Activity have been fully Expended. |
| 2014 | Johnson Park Center CHDO Operations   | Johnson Park Center                 | \$ 15,000.00  | 2014-2015 | Completed Activity                               | Funding for Operating Costs of a City of Utica Community Housing Development Organization   | Organization has been recertified and is operating in accordance with all CHDO provisions. Funds under this contract have been fully expended for costs associated with operating the CHDO and developing JPA VI  |
| 2013 | Johnson Park Apartments VI  | Johson Park Center                  | \$ 600,000.00 | 2013-2017 | Preparing for Rehabilitation                     | Rehabilitation of six buildings for the purpose of developing 24 units for extremely low income, chronically homeless, women with mental illness      | Finalizing early stages, construction anticipated to begin in the 2015 Construction Season  |
| 2012 | Oneida County Habitat for Humanity: 2012-2013 Homebuyer Development Project | Oneida County Habitat for Humanity  | \$ 80,000.00  | 2012-2014 | Construction Complete, finalizing for closing    | Development of two single family homebuyer units to be sold to pre-selected low-mod families  | Both units are complete. One unit has been sold to an income eligible family and has completely closed, the other is under a purchase agreement and is working towards closing.   |
| 2012 | Utica Neighborhood Housing SAFE Program Phase II                            | Utica Neighborhood Housing Services | \$ 100,000.00 | 2012-2014 | Completed Activity: No Affordability Period      | Rehabilitation of 3-5 low income homeowner occupied 1-4 unit homes.   | Project is complete and compliant   |

## City of Utica HOME Program Loan Portfolio

| Year | Loan Name  | Organization                        | Amount        | Term      | Status  | Activity Goal   | Notes   |
|------|--|-------------------------------------|---------------|-----------|---|---|---|
| 2012 | Genesee Crossings                                      | Housing Visions                     | \$ 700,000.00 | 2012-2032 | Completed Activity:<br>Currently in the 1st Year of 20 Year Affordability Period                            | Construction of 33 rental units to be rented to income eligible tenants. 9 units specifically designated for seniors.   | Project is complete and compliant   |
| 2012 | Oneida County Habitat for Humanity: 307 Lansing Street | Oneida County Habitat for Humanity  | \$ 30,000.00  | 2011-2012 | Completed Activity:<br>Currently in the 3rd of 10 year affordability period.                                | Construction of a single family home to be sold to an income-eligible buyer   | Project completed and compliant   |
| 2011 | Rebuild Mohawk Valley CHDO Operations                  | Rebuild Mohawk Valley               | \$ 41,316.00  | 2011-2012 | Open Activity: Currently 14,899,014   | Funds for operating costs of a Community Housing Development Organization.  | Completed   |
| 2011 | Utica Neighborhood Housing SAFE Program                | Utica Neighborhood Housing Services | \$ 100,000.00 | 2011-2012 | Open Activity: Currently final stage of construction, approximately half of the funds have been reimbursed. | This is a homeowner occupied housing rehab program geared towards seniors need of repairs to one of the major components of their home. It is intended to serve 3-5 households. | Five home rehabilitated and project has completed   |
| 2010 | Kennedy Plaza Rehab Project                            | Liberty Affordable Housing          | \$ 300,000.00 | 2010-2011 | Completed Activity:<br>Currently in the 3rd of 5 years of affordability                                     | Rehab of 21 Units in a 204 Unit apartment building in West Utica.   | Rehab was successfully completed in the Fall of 2011 and all 21 Units are currently occupied. The project is currently operating within the 3rd year of the 5 year affordability period. The year 3 monitoring will be scheduled for July 2014. |
| 2008 | West Utica Homeownership Project                       | Rebuild Mohawk Valley               | \$ 527,450.00 | 2010-2012 | Open Activity:<br>Beneficiary Data received and to be entered into IDIS early July 2014                     | New Construction of 7 single family homes in West Utica to be sold to low/moderate income homebuyers.   | Construction is complete and all 7 homes have been sold to income eligible purchasers.  |
| 2008 | Johnson Park Apartments Phase V                        | Johnson Park Center                 | \$ 161,000.00 | 2011-2012 | Completed Activity:<br>Currently in the 2nd of the 10 year affordability period                             | Acquisition and Rehab of 4 units in the Johnson Park Center Target area for rental to low income, chronically homeless women  | Johnson Park V was completed in August of 2012. Project is currently operating in the 2nd year of the 10 year affordability period. Next Project Compliance report is due in August of 2014.  |
| 2008 | Home Preservation Project Phase II                     | Rebuild Mohawk Valley               | \$154,000     | 2011-2013 | Open Activity: City and RMV are reconciling project cost documentation. Final Draws to occur in July 2014.  | Rehabilitation of 14 homeowner occupied single family housing units located in the City of Utica's Cornhill Neighborhood.   | All work has been completed and Rebuild Mohawk Valley is working with City Staff to reconcile cost documentation on final voucher   |
| 2006 | Oneida County Habitat for Humanity: 315 Lansing Street | Oneida County Habitat for Humanity  | \$ 30,000.00  | 2010-2011 | Completed Activity:<br>Currently in the 2nd of 10 years of affordability                                    | Construction of a single family home to be sold to an income-eligible buyer   | Property was sold to a family of two whose income was between 0-30% of the AMI.   |
| 2008 | Elderhome - 1428 Watkins                               | GroWest                             | \$ 6,500.00   | 2010      | Open Activity   | This was part of a GroWest homeowner rehab program aimed at repairing the homes of seniors living in West Utica   | This project is pending investigation following the demise of GroWest. It is unclear at this time if the project was completed or the loan should be canceled and paid back.  |

**City of Utica HOME Program  
Loan Portfolio**

| Year | Loan Name                        | Organization | Amount       | Term      | Status        | Activity Goal   | Notes  |
|------|----------------------------------|--------------|--------------|-----------|---------------|---|--|
| 2008 | Elderhome - 116 Hopson           | GroWest      | \$ 23,800.00 | 2009-2010 | Open Activity | This was part of a GroWest homeowner rehab program aimed at repairing the homes of seniors living in West Utica                             | This project is pending investigation following the demise of GroWest. It is unclear at this time if the project was completed or the loan should be canceled and paid back. |
| 2008 | Elderhome - 1605 Brinkerhoff Ave | GroWest      | \$ 40,000.00 | 2009-2010 | Open Activity | This was part of a GroWest homeowner rehab program aimed at repairing the homes of seniors living in West Utica                             | This project is pending investigation following the demise of GroWest. It is unclear at this time if the project was completed or the loan should be canceled and paid back. |
| 2008 | Elderhome - 1551 Howard Ave      | GroWest      | \$ 5,410.00  | 2009-2010 | Open Activity | This was part of a GroWest homeowner rehab program aimed at repairing the homes of seniors living in West Utica                             | This project is pending investigation following the demise of GroWest. It is unclear at this time if the project was completed or the loan should be canceled and paid back. |
| 2008 | Lead Bridge - 14 Schuyler Street | GroWest      | \$ 10,780.00 | 2008-2009 | Open Activity | This was part of a GroWest homeowner rehab program aimed at bringing homes up to code in preparation for the Lead Safe Utica Grant Program. | This project is pending investigation following the demise of GroWest. It is unclear at this time if the project was completed or the loan should be canceled and paid back. |
| 2008 | Lead Bridge - 1023 Court Street  | GroWest      | \$ 16,515.00 | 2008-2009 | Open Activity | This was part of a GroWest homeowner rehab program aimed at bringing homes up to code in preparation for the Lead Safe Utica Grant Program. | This project is pending investigation following the demise of GroWest. It is unclear at this time if the project was completed or the loan should be canceled and paid back. |
| 2008 | Lead Bridge - 806 Sherman Pl.    | GroWest      | \$ 5,100.00  | 2008-2009 | Open Activity | This was part of a GroWest homeowner rehab program aimed at bringing homes up to code in preparation for the Lead Safe Utica Grant Program. | This project is pending investigation following the demise of GroWest. It is unclear at this time if the project was completed or the loan should be canceled and paid back. |
| 2008 | Lead Bridge - 1001 Cornelia St.  | GroWest      | \$ 23,300.00 | 2008-2009 | Open Activity | This was part of a GroWest homeowner rehab program aimed at bringing homes up to code in preparation for the Lead Safe Utica Grant Program. | This project is pending investigation following the demise of GroWest. It is unclear at this time if the project was completed or the loan should be canceled and paid back. |
| 2008 | Lead Bridge - 434 Harding        | GroWest      | \$ 10,000.00 | 2009-2010 | Open Activity | This was part of a GroWest homeowner rehab program aimed at bringing homes up to code in preparation for the Lead Safe Utica Grant Program. | This project is pending investigation following the demise of GroWest. It is unclear at this time if the project was completed or the loan should be canceled and paid back. |



# **CDBG Economic Reinvestment Program Portfolio**

City of Utica ERP Loan Portfolio  
Fiscal Year Ending 3/31/15

| Company Name                                       | Company Address                   | Original Loan Amount | Loan Terms        | Monthly Payment |
|--|-----------------------------------|----------------------|-------------------|-----------------|
| 421 Broad Street, LLC                              | 421 Broad Street                  | \$100,000            | 2.7625%, 10 Years | \$954.68        |
| All or None, Inc.                                  | 640-650 Varick Street             | \$80,000             | 2.7625%, 7 Years  | \$1,048.52      |
| Austin Mohawk                                      | 2175 Beechgrove Place             | \$75,000             | 2.7625%, 5 Years  | \$893.19        |
| Bella Regina, LLC                                  | 239 Genesee Street                | \$10,000             | 2.7625%, 5 Years  | \$178.63        |
| Canfield's Radiator Shop                           | 1226 Erie Street                  | \$79,736             | 4.89%, 13 Years   | \$691.69        |
| Central N.Y. Imaging & Diagnostics Management, LLC | 809 Third Avenue                  | \$10,000             | 4.46%, 5 Years    | \$185.98        |
| Controlled Waste Attn: Gail Mancuso                | 415 Court Street                  | \$65,000             | 2.975%, 10 Years  | \$579.53        |
| CTTH, LLC Attn: Christian Talgo                    | 94 Genesee Street                 | \$57,500             | 2.7625%, 7 Years  | \$753.63        |
| Dacobe Enterprises, LLC                            | 325 Lafayette Street              | \$60,000             | 2.7625%, 5 Years  | \$1,071.80      |
| DM Video   | 1809 Genesee Street               | \$121,195            | 4.25%, 20 Years   | \$777.81        |
| Eva Gourmet, LLC                                   | 73 Wurz Avenue                    | \$100,000            | 2.7625%, 7 Years  | \$1,310.65      |
| Hammonds Chiropractic Restated Loan                | 103 Oxford Road, Apt. B-New Hartf | \$27,006             | 3.40%, 5 Years    | \$100.00        |
| Jaychio, LLC                                       | 1821 Broad Street                 | \$112,500            | 2.7625%, 7 Years  | \$1,074.02      |
| Karate School Dragon (Jumpstart)                   | 249 Bleecker Street               | \$5,000              | 2.7625%, 5 Years  | \$99.32         |
| NickBern Enterprises                               | 617 South Street                  | \$100,000            | 2.7625%, 10 Years | \$954.68        |
| Metal Logix Design & Fabrication, Inc.             | 1305 Conkling Avenue              | \$50,000             | 5.525%, 10 Years  | \$543.25        |
| Nimey Estates, LLC                                 | 2104 Dwyer Avenue                 | \$75,000             | 2.7625%, 10 Years | \$716.01        |
| Parkway Pizza Restaurant, Inc.                     | 1250 Culver Avenue                | \$45,000             | 2.7625%, 5 Years  | \$803.85        |
| Primo Property Management, LLC                     | 421 Broad Street                  | \$150,000            | 2.7625%, 7 Years  | \$1,965.98      |
| Ultra Coat LLC                                     | 73 Wurz Avenue                    | \$30,000             | 2.7625%, 7 Years  | \$393.20        |
| Utica Metal Products                               | 1526 Lincoln Avenue               | \$75,000             | 2.7625%, 10 Years | \$716.01        |
| Zoran Music/Printing Solutions                     | 813 Deerwood Road                 | \$10,000             | 2.7625%, 5 Years  | \$178.63        |

The following Loans have been sent to Corporation Counsel for Legal Action:

|                                    |                                 |           |                   |            |
|------------------------------------|---------------------------------|-----------|-------------------|------------|
| Adirondack Coffee Company, Inc.    | 248 Genesee Street              | \$40,000  | 3.325%, 7 Years   | \$534.31   |
| Archaic Designs, John Makohen      | 1105 Lincoln Avenue             | \$16,333  | 4.25%, 5 Years    | \$302.63   |
| Bannatyne, Stuart                  | 19 Allen Street-Deposit, NY     | \$100,000 | 2.7625%, 10 Years | \$954.68   |
| Stuart Bannatyne (was Def Pymt)    | 19 Allen Street-Deposit, NY     | \$50,000  | 2.7625%, 10 Years | \$1,448.83 |
| CilMax, Inc.                       | 831 Broad Street                | \$55,000  | 4.04%, 6 Years    | \$547.09   |
| Daily Bazar                        | 907 3rd Ave                     | \$15,246  | 5.525%, 7 Years   | \$219.26   |
| Isis Lounge, LLC                   | 515 W. Dominick St., Rome, NY   | \$5,000   | 2.7625%, 5 Years  | \$89.32    |
| Keefer Productions, Inc.           | 106 S. 4th St.-Ilion, NY        | \$41,567  | 5.63%, 5 Years    | \$796.47   |
| Kwikie In & Out Services, LLC      | 1700 Oriskany Blvd. W.          | \$36,745  | 4.25%, 7 Years    | \$506.49   |
| TDC of Utica, Inc. d/b/a The Vault | 801 Varick Street               | \$17,000  | 5.95%, 5 Years    | \$328.26   |
| Sensor Applications, Inc.          | 502 Court Street                | \$46,667  | 2.975%, 5 Years   | \$838.03   |
| Semso Nadarevic d/b/a Sea Services | 763 Rutger Street               | \$35,000  | 5.525%, 10 Years  | \$380.28   |
| R. Willson Enterprises, Inc.       | 8315 Kellogg St.-Clinton, NY    | \$31,500  | 2.7625%, 5 Years  | \$412.86   |
| YEP, Inc.                          | 404-408 Court Street            | \$30,000  | 3.25%, 1 Year     | \$2,544.23 |
| Loretto Center                     | 700 East Brighton Ave, Syracuse | \$195,000 | 6.00% 30 Years    |            |

OTHER LOANS (Fiscal Year Ending 3/31/15)

| Company Name                         | Company Address       | Original<br>Loan Amount | Loan Terms       | Monthly<br>Payment |
|--------------------------------------|-----------------------|-------------------------|------------------|--------------------|
| <u>DEFERRED PAYMENT LOANS</u>        |                       |                         |                  |                    |
| All or None, Inc. Deferred Pymt      | 640-650 Varick Street | \$ 5,000.00             | 2.7625%, 7 Years | \$144.88           |
| Eva Gourmet, LLC Deferred Pymt       | 73 Wurz Avenue        | \$ 50,000.00            | 2.7625%, 4 Years | \$1,101.48         |
| Metal Logix Deferred Pymt            | 1305 Conkling Avenue  | \$ 12,500.00            | 5.53%, 10 Years  | \$135.81           |
| Rutger Manor (Housing Visions)       |                       | \$ 175,000.00           |                  |                    |
| 15 Johnson Park (JCTOD)              |                       | \$ 50,000.00            |                  |                    |
| 16-18 Johnson Park (JCTOD)           |                       | \$ 100,000.00           |                  |                    |
| Square Street (JCTOD)                |                       | \$ 40,000.00            |                  |                    |
| West & Arthur Street (JCTOD)         |                       | \$ 203,000.00           |                  |                    |
| <u>HOUSING TRUST</u>                 |                       |                         |                  |                    |
| Sharon Ayers, HT                     | 114-116 Hobart Street | \$ 11,590.82            | 1.0%, 7 Years    | \$142.93           |
| <u>OTHER</u>                         |                       |                         |                  |                    |
| Utica Monday Nite Bridge             |                       | \$ 10,000.00            | 3.25%            |                    |
| Mongomery-Watson Harza (Section 108) |                       | \$ 199,050.00           | 3.0% 19 Years    | \$1,146.41         |
| Mayfield I (Section 108)             |                       | \$ 750,000.00           |                  |                    |
| Mayfield III (Section 108)           |                       | \$ 600,000.00           |                  |                    |
| Mayfield II AHC (Home)               |                       | \$ 49,000.00            |                  |                    |
| Mayfield II RR (Home)                |                       | \$ 153,000.00           |                  |                    |
| Mayfield II 1998 (Home)              |                       | \$ 172,000.00           |                  |                    |
| Mayfield II 2001 (Home)              |                       | \$ 300,000.00           |                  |                    |
| Kembleton, LLC (Home)                |                       | \$ 200,000.00           |                  |                    |
| Mayfield IV (Home)                   |                       | \$ 175,000.00           |                  |                    |

**ESG**  
**IDIS Entry**

# CR-60 - ESG 91.520(g) (ESG Recipients only)

## ESG Supplement to the CAPER in *e-snaps*

### For Paperwork Reduction Act

#### 1. Recipient Information—All Recipients Complete

##### Basic Grant Information

|   |                              |
|---|------------------------------|
| Recipient Name  | UTICA                        |
| Organizational DUNS Number  | 010759959                    |
| EIN/TIN Number  | 156000418                    |
| Identify the Field Office   | BUFFALO                      |
| Identify CoC(s) in which the recipient or subrecipient(s) will provide ESG assistance | Utica/Rome/Oneida County CoC |

##### ESG Contact Name

|             |             |
|-------------|-------------|
| Prefix      | Mr.         |
| First Name  | Christopher |
| Middle Name | Michael     |
| Last Name   | Lawrence    |
| Suffix      |             |
| Title       | Planner     |

##### ESG Contact Address

|                  |                           |
|------------------|---------------------------|
| Street Address 1 | 1 Kennedy Plaza           |
| Street Address 2 |                           |
| City             | Utica                     |
| State            | New York                  |
| ZIP Code         | 13502-                    |
| Phone Number     | 315-792-0193              |
| Extension        |                           |
| Fax Number       | 315-797-6607              |
| Email Address    | clawrence@cityofutica.com |

##### ESG Secondary Contact

|               |  |
|---------------|--|
| Prefix        | Mr.  |
| First Name    | Brian  |
| Last Name     | Thomas   |
| Suffix        | AICP   |
| Title         | Commissioner of Urban and Economic Development |
| Phone Number  | 315-792-0181                                   |
| Extension     |  |
| Email Address | bthomas@cityofutica.com                        |

## 2. Reporting Period—All Recipients Complete

Program Year Start Date 04/01/2014  
Program Year End Date 03/31/2015

### 3a. Subrecipient Form – Complete one form for each subrecipient

**Subrecipient or Contractor Name:** UTICA

**City:** Utica

**State:** NY

**Zip Code:** 13502, 4234

**DUNS Number:** 010759959

**Is subrecipient a victim services provider:** N

**Subrecipient Organization Type:** Unit of Government

**ESG Subgrant or Contract Award Amount:** 13983

**Subrecipient or Contractor Name:** JOHNSON PARK CENTER

**City:** Utica

**State:** NY

**Zip Code:** 13501, 4439

**DUNS Number:**

**Is subrecipient a victim services provider:** N

**Subrecipient Organization Type:** Faith-Based Organization

**ESG Subgrant or Contract Award Amount:** 76488

**Subrecipient or Contractor Name:** FAMILY NURTURING CENTER OF CENTRAL NEW YORK, INC.

**City:** UTICA

**State:** NY

**Zip Code:** ,

**DUNS Number:**

**Is subrecipient a victim services provider:** N

**Subrecipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** 14357

**Subrecipient or Contractor Name:** YWCA OF THE MOHAWK VALLEY INC.

**City:** UTICA

**State:** NY

**Zip Code:** ,

**DUNS Number:**

**Is subrecipient a victim services provider:** Y

**Subrecipient Organization Type:** Faith-Based Organization

**ESG Subgrant or Contract Award Amount:** 57798

**Subrecipient or Contractor Name:** John Bosco House

**City:** Utica

**State:** NY

**Zip Code:** 13502, 3439

**DUNS Number:**

**Is subrecipient a victim services provider:** N

**Subrecipient Organization Type:** Faith-Based Organization

**ESG Subgrant or Contract Award Amount:** 17514

**Subrecipient or Contractor Name:** CNY Services

**City:** Utica

**State:** NY

**Zip Code:** 13501, 4343

**DUNS Number:**

**Is subrecipient a victim services provider:** N

**Subrecipient Organization Type:** Other Non-Profit Organization

**ESG Subgrant or Contract Award Amount:** 6000

## CR-65 - Persons Assisted

### 4. Persons Served

#### 4a. Complete for Homelessness Prevention Activities

| Number of Persons in Households | Total    |
|---------------------------------|----------|
| Adults                          | 0        |
| Children                        | 0        |
| Don't Know/Refused/Other        | 0        |
| Missing Information             | 0        |
| <b>Total</b>                    | <b>0</b> |

Table 1 – Household Information for Homeless Prevention Activities

#### 4b. Complete for Rapid Re-Housing Activities

| Number of Persons in Households | Total     |
|---------------------------------|-----------|
| Adults                          | 53        |
| Children                        | 27        |
| Don't Know/Refused/Other        | 0         |
| Missing Information             | 0         |
| <b>Total</b>                    | <b>80</b> |

Table 2 – Household Information for Rapid Re-Housing Activities

#### 4c. Complete for Shelter

| Number of Persons in Households | Total      |
|---------------------------------|------------|
| Adults                          | 213        |
| Children                        | 168        |
| Don't Know/Refused/Other        | 0          |
| Missing Information             | 0          |
| <b>Total</b>                    | <b>381</b> |

Table 3 – Shelter Information

#### 4d. Street Outreach

| Number of Persons in Households | Total    |
|---------------------------------|----------|
| Adults                          | 0        |
| Children                        | 0        |
| Don't Know/Refused/Other        | 0        |
| Missing Information             | 0        |
| <b>Total</b>                    | <b>0</b> |

Table 4 – Household Information for Street Outreach

#### 4e. Totals for all Persons Served with ESG

| Number of Persons in Households | Total      |
|---------------------------------|------------|
| Adults                          | 266        |
| Children                        | 195        |
| Don't Know/Refused/Other        | 0          |
| Missing Information             | 0          |
| <b>Total</b>                    | <b>461</b> |

Table 5 – Household Information for Persons Served with ESG

#### 5. Gender—Complete for All Activities

|                          | Total      |
|--------------------------|------------|
| Male                     | 78         |
| Female                   | 275        |
| Transgender              | 0          |
| Don't Know/Refused/Other | 108        |
| Missing Information      | 0          |
| <b>Total</b>             | <b>461</b> |

Table 6 – Gender Information

## 6. Age—Complete for All Activities

|                          | Total      |
|--------------------------|------------|
| Under 18                 | 176        |
| 18-24                    | 94         |
| 25 and over              | 191        |
| Don't Know/Refused/Other | 0          |
| Missing Information      | 0          |
| <b>Total</b>             | <b>461</b> |

Table 7 – Age Information

## 7. Special Populations Served—Complete for All Activities

### Number of Persons in Households

| Subpopulation                     | Total | Total Persons Served – Prevention | Total Persons Served – RRH | Total Persons Served in Emergency Shelters |
|-----------------------------------|-------|-----------------------------------|----------------------------|--|
| Veterans                          | 8     | 0                                 | 3                          | 5  |
| Victims of Domestic Violence      | 161   | 0                                 | 14                         | 147  |
| Elderly                           | 2     | 0                                 | 1                          | 1  |
| HIV/AIDS                          | 0     | 0                                 | 0                          | 0  |
| Chronically Homeless              | 0     | 0                                 | 0                          | 0  |
| <b>Persons with Disabilities:</b> |       |                                   |                            |  |
| Severely Mentally Ill             | 96    | 0                                 | 21                         | 75   |
| Chronic Substance Abuse           | 71    | 0                                 | 9                          | 62   |
| Other Disability                  | 94    | 0                                 | 10                         | 84   |
| Total (Unduplicated if possible)  | 432   | 0                                 | 58                         | 374  |

Table 8 – Special Population Served

## CR-70 – ESG 91.520(g) - Assistance Provided and Outcomes

### 8. Shelter Utilization

|                                      |         |
|--------------------------------------|---------|
| Number of New Units - Rehabbed       | 0       |
| Number of New Units - Conversion     | 0       |
| Total Number of bed-nights available | 54      |
| Total Number of bed-nights provided  | 54      |
| Capacity Utilization                 | 100.00% |

Table 9 – Shelter Capacity

### 9. Project Outcomes Data measured under the performance standards developed in consultation with the CoC(s)

#### Hall House

Operated by YWCA of the Mohawk Valley, Hall House is a domestic violence shelter located in an undisclosed location within the City of Utica. This year it was able to safely shelter 187 individuals of which 79 were adults, 89 were children under the age of 16 years and 19 were between the ages of 16-20. Of the 187 individuals served 62 were White, 77 were African-American, and 33 were Hispanic, 13 were Asian and 2 were other.

#### New Horizons

Operated by the YWCA of the Mohawk Valley, New Horizon's is a shelter which serves girls between the age of 16-21. The facility reported serving a total of 19 persons. Of those 19 persons, the majority (12) were young adults between the ages of 15 and 24. New Horizons assisted 5 children ages 13-17 and 2 children less than 5 years of age. Racially, of the 19 persons assisted, 11 were white, 2 were African American and 6 were of multiple races. In terms of income levels, all of the 16 total were considered to be 'extremely low' income. 50% of the adults served were victims of domestic violence.

#### Johnson Park Center (JPC)

JPC reported serving a total of 130 individuals. The program served 103 Adults (3 male – 100 female) and 27 children under the age of 18. The racial breakdown was: 84 white, 28 African American, 2 Asian, 4 American Indian/Alaska Native and 8 multiple races. Of the 103 adults served, 47 have been victims of domestic violence.

#### JCP Rapid Rehousing Program

JCP provided 80 individuals with services to find, secure and maintain permanent housing. This included

52 different households and 27 children. All households were documented homeless by the local Department of Social Services. Of the 80 served, the racial breakdown was: 39 White, 35 African American, 1 American Indian/Native Alaskan and 5 with multiple races. 27 of those served were under the age of 18, while 53 were adults over the age of 18. All persons served were considered to be 'extremely low' income. 23 of those served had a known mental illness, 4 suffered alcohol abuse, 5 drug abuse, 10 had chronic health conditions, 6 had a developmental disability and 11 had a physical disability. 14 of those served have been victims of domestic violence, 5 within 3 months of being assisted.

#### **Evelyn's House for Young Mothers and Babies**

Operated by Family Nurturing Center, a subsidiary of Kids Oneida Inc. served a total of 37 individuals, of which 18 were under the age of 5 and 8 were young between the ages of 13-17 while 11 were ages 18-24. The racial breakdown was: 13 White, 6 African-American, 2 Asian, 1 American Indian/Alaska Native, 1 Native Hawaiian or Other Pacific Islander and 14 of multiple races. All 37 individuals were considered to be 'extremely low' income. 5 of those served had a known mental illness, 1 alcohol abuse, 1 drug abuse and 1 developmental disability. It is significant to note that 70% of adults served were past victims of domestic violence.

#### **John Bosco House**

John Bosco House was able to assist 8 young men between the ages of 16 and 21. The racial breakdown was: 5 White, 1 African-American, 1 Asian and 1 multiple races. Each of the 8 individuals served were considered to be 'extremely low income'. 1 of the young men was a past victim of domestic violence.

## CR-75 – Expenditures

### 11. Expenditures

#### 11a. ESG Expenditures for Homelessness Prevention

|   | Dollar Amount of Expenditures in Program Year |          |          |
|---|---|----------|----------|
|   | 2012  | 2013     | 2014     |
| Expenditures for Rental Assistance  | 0   | 0        | 0        |
| Expenditures for Housing Relocation and Stabilization Services - Financial Assistance | 0   | 0        | 0        |
| Expenditures for Housing Relocation & Stabilization Services - Services               | 0   | 0        | 0        |
| Expenditures for Homeless Prevention under Emergency Shelter Grants Program           | 0   | 0        | 0        |
| <b>Subtotal Homelessness Prevention</b>   | <b>0</b>                                      | <b>0</b> | <b>0</b> |

Table 10 – ESG Expenditures for Homelessness Prevention

#### 11b. ESG Expenditures for Rapid Re-Housing

|   | Dollar Amount of Expenditures in Program Year |               |               |
|---|---|---------------|---------------|
|   | 2012  | 2013          | 2014          |
| Expenditures for Rental Assistance  | 67,861  | 45,796        | 25,386        |
| Expenditures for Housing Relocation and Stabilization Services - Financial Assistance | 0   | 0             | 0             |
| Expenditures for Housing Relocation & Stabilization Services - Services               | 0   | 0             | 0             |
| Expenditures for Homeless Assistance under Emergency Shelter Grants Program           | 0   | 0             | 0             |
| <b>Subtotal Rapid Re-Housing</b>  | <b>67,861</b>                                 | <b>45,796</b> | <b>25,386</b> |

Table 11 – ESG Expenditures for Rapid Re-Housing

#### 11c. ESG Expenditures for Emergency Shelter

|                    | Dollar Amount of Expenditures in Program Year |               |               |
|--------------------|---|---------------|---------------|
|                    | 2012  | 2013          | 2014          |
| Essential Services | 137,134                                       | 95,619        | 61,090        |
| Operations         | 0   | 0             | 0             |
| Renovation         | 0   | 0             | 0             |
| Major Rehab        | 0   | 0             | 0             |
| Conversion         | 0   | 0             | 0             |
| <b>Subtotal</b>    | <b>137,134</b>                                | <b>95,619</b> | <b>61,090</b> |

Table 12 – ESG Expenditures for Emergency Shelter

**11d. Other Grant Expenditures**

|                 | Dollar Amount of Expenditures in Program Year |        |       |
|-----------------|---|--------|-------|
|                 | 2012  | 2013   | 2014  |
| HMIS            | 6,000   | 6,000  | 6,000 |
| Administration  | 17,103  | 14,657 | 9,113 |
| Street Outreach | 0   | 0      | 0     |

Table 13 - Other Grant Expenditures

**11e. Total ESG Grant Funds**

| Total ESG Funds Expended | 2012    | 2013    | 2014    |
|--------------------------|---------|---------|---------|
| 491,759                  | 228,098 | 162,072 | 101,589 |

Table 14 - Total ESG Funds Expended

**11f. Match Source**

|                           | 2012             | 2013             | 2014           |
|---------------------------|------------------|------------------|----------------|
| Other Non-ESG HUD Funds   | 0                | 0                | 0              |
| Other Federal Funds       | 0                | 0                | 0              |
| State Government          | 0                | 0                | 0              |
| Local Government          | 0                | 0                | 0              |
| Private Funds             | 0                | 0                | 0              |
| Other                     | 1,254,177        | 1,255,574        | 959,146        |
| Fees                      | 0                | 0                | 0              |
| Program Income            | 0                | 0                | 0              |
| <b>Total Match Amount</b> | <b>1,254,177</b> | <b>1,255,574</b> | <b>959,146</b> |

Table 15 - Other Funds Expended on Eligible ESG Activities

**11g. Total**

| Total Amount of Funds Expended on ESG Activities | 2012      | 2013      | 2014      |
|--|-----------|-----------|-----------|
| 3,960,656  | 1,482,275 | 1,417,646 | 1,060,735 |

Table 16 - Total Amount of Funds Expended on ESG Activities