

CR-05 - Goals and Outcomes

Progress the jurisdiction has made in carrying out its strategic plan and its action plan. 91.520(a)

This could be an overview that includes major initiatives and highlights that were proposed and executed throughout the program year.

The Plan identified a number of specific activities for the 2016-2017 program year, including sidewalk/curb reconstruction, playground improvements, funding for a mobile food market and a farmer's market and a homeowner rehabilitation program – all of which were to be focused on West Utica.

In reviewing the activities on which federal funds were expended during the 2016-2017 program year, it is clear that the City largely fulfilled the promises made within that Annual Action Plan. For sidewalk/curb reconstruction, a total of \$245,000 was expended to improve the curbing and sidewalks along both sides of Sunset Avenue, one of the busier streets through West Utica. For the West Utica farmer's market, the City provided just under \$5,000 for operation of Supplemental Nutrition Assistance Program (SNAP) Electronic Benefits Transfer (EBT) machine for the exclusive benefit of low- to moderate-income persons and families. Additionally, the City expended \$88,540 on the rehabilitation of two (2) homeowner-occupied homes in West Utica (1201 Mathews Avenue and 942 Schuyler Street). To further enhance West Utica neighborhoods, the City also expended a total of \$36,812 for the demolition of two substandard homes (1009 Green Street and 610 Saratoga Street).

Relative to the continued focus on the original four focus areas, a review of PR26 and PR50 show that funding continued to be expended in those areas in the 2016-2017 program year. For instance, just over \$7,000 was expended for the Oneida Square/Downtown district streetscapes; \$5,325 expended for Chancellor Park which is part of the Bleecker Street/International District area; \$180,000 expended for the Bleecker Street/International District sidewalk improvements; \$8,240 expended for demolition of 956 Bleecker Street and \$43,095 for the demolition of 1126 Bleecker Street.

As is historically the case, the City exhibited a very strong commitment to assisting low- to moderate-income persons and families. According to the PR26, over 96% of all CDBG funds expended during the 2016-2017 program year were spend on activities that directly benefitted low- to moderate-income persons and families.

In a break from traditional or historic expenditure patterns is the focus by the City on housing for persons of low- to moderate-income. According to the PR50, the City of Utica expended over \$276,000 or slightly more than 10% of all expenditures made during the 2016-

2017 program year on housing, all of which was focused on rehabilitation of owner-occupied housing. The fact that nearly the same exact amount was expended on the repayment of Section 108 loans shows how much more benefit can and will be provided to low- to moderate-income persons and families in the City of Utica in the 2020-2021 program year when the Section 108 loan for Hotel Utica has been completely repaid.

Comparison of the proposed versus actual outcomes for each outcome measure submitted with the consolidated plan and explain, if applicable, why progress was not made toward meeting goals and objectives. 91.520(g)

Categories, priority levels, funding sources and amounts, outcomes/objectives, goal outcome indicators, units of measure, targets, actual outcomes/outputs, and percentage completed for each of the grantee’s program year goals.

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
AM 1-Overall Administration	Administration	CDBG: \$ / HOME: \$ / ESG: \$	Other	Other	1	1	100.00%	1	1	100.00%
AM-2 Special Planning/Management	Overall Planning and Administrative Management	CDBG: \$ / HOME: \$ / ESG: \$	Other	Other	1	1	100.00%			
CD-1 Community Facilities	Non-Housing Community Development	CDBG: \$	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	10000	0	0.00%			

CD-1 Community Facilities	Non-Housing Community Development	CDBG: \$	Public Facility or Infrastructure Activities for Low/Moderate Income Housing Benefit	Households Assisted	0	1250		2500	1250	50.00%
CD-2 Infrastructure	Non-Housing Community Development	CDBG: \$	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	30000	8000	26.67%			
CD-2 Infrastructure	Non-Housing Community Development	CDBG: \$	Public Facility or Infrastructure Activities for Low/Moderate Income Housing Benefit	Households Assisted	0	0		3000	3000	100.00%
CD-3 Public Services	Non-Housing Community Development	CDBG: \$	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	30000	12100	40.33%			
CD-3 Public Services	Non-Housing Community Development	CDBG: \$	Public service activities for Low/Moderate Income Housing Benefit	Households Assisted	0	0		1800	6498	361.00%

CD-4 Food Programs	Non-Housing Community Development	CDBG: \$	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	5000	0	0.00%			
CD-6 Public Safety	Non-Housing Community Development	CDBG: \$	Other	Other	8000	0	0.00%			
CD-7 Clearance	Non-Housing Community Development	CDBG: \$	Buildings Demolished	Buildings	15	11	73.33%	1	8	800.00%
ED-1 Employment	Non-Housing Community Development	CDBG: \$	Jobs created/retained	Jobs	200	0	0.00%			
ED-2 Financial Assistance	Non-Housing Community Development	CDBG: \$	Jobs created/retained	Jobs	20	34	170.00%	12	21	175.00%
ED-2 Financial Assistance	Non-Housing Community Development	CDBG: \$	Businesses assisted	Businesses Assisted	20	0	0.00%			
ED-3 Technical Assistance	Non-Housing Community Development	CDBG: \$	Businesses assisted	Businesses Assisted	50	0	0.00%			
ED-3 Technical Assistance	Non-Housing Community Development	CDBG: \$	Other	Other	0	0		1	0	0.00%

ED-4 Infrastructure	Non-Housing Community Development	CDBG: \$	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	10000	0	0.00%			
ED-5 Rehabilitation - Commercial	Non-Housing Community Development	CDBG: \$	Facade treatment/business building rehabilitation	Business	0	0		8	0	0.00%
ED-5 Rehabilitation - Commercial	Non-Housing Community Development	CDBG: \$	Businesses assisted	Businesses Assisted	12	3	25.00%			
ED-6 Historic Preservation	Non-Housing Community Development	CDBG: \$	Businesses assisted	Businesses Assisted	5	0	0.00%			
HO-1 Operations and Support	Homeless	ESG: \$	Homeless Person Overnight Shelter	Persons Assisted	1500	0	0.00%			
HO-1 Operations and Support	Homeless	ESG: \$	Other	Other	0	0		1	1	100.00%
HO-2 Prevention and Rehousing	Homeless	ESG: \$	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	450	0	0.00%			
HO-2 Prevention and Rehousing	Homeless	ESG: \$	Homelessness Prevention	Persons Assisted	0	0		495	0	0.00%
HO-4 Permanent Housing	Homeless	HOME: \$	Housing for Homeless added	Household Housing Unit	25	0	0.00%			

HO-Housing	Homeless	CDBG: \$230000 / ESG: \$	Direct Financial Assistance to Homebuyers	Households Assisted	0	0		30	0	0.00%
HO-Housing	Homeless	CDBG: \$230000 / ESG: \$	Overnight/Emergency Shelter/Transitional Housing Beds added	Beds	75	0	0.00%			
HS-1 Housing Construction	Affordable Housing	HOME: \$	Homeowner Housing Added	Household Housing Unit	100	0	0.00%			
HS-2 Homeowner Rehabilitation	Affordable Housing	HOME: \$	Homeowner Housing Rehabilitated	Household Housing Unit	50	9	18.00%			
HS-3 Rental Housing Rehabilitation	Affordable Housing	HOME: \$	Rental units rehabilitated	Household Housing Unit	50	5	10.00%	45	3	6.67%
HS-4 Neighborhood Revitalization	Affordable Housing	CDBG: \$ / HOME: \$	Rental units rehabilitated	Household Housing Unit	8	0	0.00%			
HS-4 Neighborhood Revitalization	Affordable Housing	CDBG: \$ / HOME: \$	Homeowner Housing Rehabilitated	Household Housing Unit	8	0	0.00%			
HS-5 Fair Housing	Affordable Housing	CDBG: \$ / HOME: \$	Other	Other	100	150	150.00%	150	150	100.00%
Section 108 Loan Repayment	Loan Repayment	CDBG: \$	Other	Other	1	1	100.00%	1	1	100.00%
SN-1 Housing	Non-Homeless Special Needs	CDBG: \$	Other	Other	10	0	0.00%			

SN-2 Social Services	Non-Homeless Special Needs	CDBG: \$	Other	Other	20	0	0.00%			
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Table 1 - Accomplishments – Program Year & Strategic Plan to Date

Assess how the jurisdiction’s use of funds, particularly CDBG, addresses the priorities and specific objectives identified in the plan, giving special attention to the highest priority activities identified.

Within the Consolidated Plan, the City of Utica identified 6 activities that were identified as having the highest priority including: Housing, Homelessness, Other Special Needs, Community Development, Economic Development and Administration. At the conclusion of the 2016-2017 program year, most of the activities should be roughly at or around the 40% completion level as the plan was created based on the assumption that many of the activities would receive multi-year allocations throughout the 5 year plan.

A review of Table 1 above shows that some of the activities have outpaced that 40% completion level, some even far exceeding the expected benefit for the entire 5 year plan duration. Other activities have lagged over these first 2 years of the plan and will require more of an emphasis in the upcoming program years in order to meet the anticipated benefit levels.

Housing activities are lagging across the board with only a modest level of activity in the area of rehabilitation of existing housing units for both homeowner & rental units. Activity within this priority area should increase substantially, however, over the next 3 years as several large projects have been putting their financing in place for the past several years and are now ready to begin construction.

Unlike Housing, the City’s use of CDBG funds for Community Development activities was much stronger and closer to anticipated levels. Activities that focused on community facilities, infrastructure, public services and demolition were on track. In the areas of food programs and public safety, however, there has been no activity. As the City reaches the halfway point in the 5 year term of the Consolidated Plan, consideration will be given to whether or not these are activities that are still a priority for the City.

In the high priority area of Economic Development, the City has been particularly successful at meeting its goals for job creation. The City has exceeded the anticipated benefit in terms of number of jobs created – and has only expended a fraction of the total amount budgeted. Under Priority Goal ED-5 Rehabilitation/Commercial, progress on paper appears to be minimal. However, actual progress in the field is a different matter entirely. A number of projects are underway in the Bleecker Street/International District at the writing of this report; those projects

simply have not been completed and requested reimbursement. Additionally, the City allocated \$90,000 in the 2016-2017 for a new façade program focused on Genesee Street in the City's Oneida Square/Downtown focus area. Utilizing a competitive RFP process, the City has hired an architect to work with the various businesses which have submitted applications for assistance under this activity.

In the high priority area of Administration, the City is on track with the projections of the Consolidated Plan.

CR-10 - Racial and Ethnic composition of families assisted

Describe the families assisted (including the racial and ethnic status of families assisted).

91.520(a)

	CDBG	HOME	ESG
White	4,796	4	0
Black or African American	1,071	4	0
Asian	214	0	0
American Indian or American Native	90	0	0
Native Hawaiian or Other Pacific Islander	0	0	0
Total	6,171	8	0
Hispanic	288	2	0
Not Hispanic	5,883	6	0

Table 2 – Table of assistance to racial and ethnic populations by source of funds

Narrative

The figures in Table 2 were compiled utilizing a variety of reports. For CDBG, the results were largely based on year-end progress reports submitted by each of the City's subrecipients, each of whom provide public services to low- and moderate-income persons and families. For HOME, the results were taken from the IDIS HOME Summary of Accomplishments report for the 2016-2017 program year. For ESG, the results are compiled as part of the HMIS reporting system.

An analysis of the results of Table 2 finds that the documented results closely reflect the demographic composition of the City of Utica. Focusing on CDBG, 77% of those assisted considered themselves to be Caucasian. This closely matches the fact that Caucasians make up 69% of the City's total population. Additionally, the fact that 17.3% of those assisted with CDBG funds considered themselves to be African-American closely mirrors the statistic that African-Americans comprised 15.3% of the City's total population (based on the 2010 Census). The same pattern largely holds true in the comparison of those assisted with CDBG funds that consider themselves to be Hispanic versus non-Hispanic. Nearly 5% of those assisted with CDBG funds considered themselves to be a Hispanic origin, which mirrors the fact that just over 10% of the City's total population in 2010 considered themselves to be of Hispanic origin.

CR-15 - Resources and Investments 91.520(a)

Identify the resources made available

Source of Funds	Source	Resources Made Available	Amount Expended During Program Year
CDBG	CDBG	6,887,119	2,659,259
HOME	HOME	479,648	254,946
HOPWA	HOPWA		
ESG	ESG	197,507	97,000
Other	Other		

Table 3 - Resources Made Available

Narrative

The total amount of CDBG funds in Table 3 above shown as being available for expenditure is taken from line 08 of the PR02 (City-modified version is Attachment 1 to this evaluation report); this includes the City's CDBG entitlement allocation of \$2,171,458 in the 2016 program year. The amounts shown for HOME and ESG in the 'Resources Made Available' column reflect exactly the City's HOME and ESG entitlement amounts for the 2016 program year.

The amount shown for CDBG funds in the 'Amount Expended During Program Year' comes from the CDBG Expenditure Report while the amount shown for ESG funds in the same column is taken from the IDIS PR02 report. The amount shown for HOME funds in the same column is taken from the HOME Summary of Accomplishments report in IDIS.

Identify the geographic distribution and location of investments

Target Area	Planned Percentage of Allocation	Actual Percentage of Allocation	Narrative Description
Consolidated Plan (CP) Target Area	90	95	

Table 4 – Identify the geographic distribution and location of investments

Narrative

Of the \$1,583,597 in CDBG funds that were allocated and expended in the 2016 program year (according to the PR02 report), a mere \$68,584 was not spent within the City of Utica's Consolidated Plan Target Area; this amount represents just 4.3% of the total amount of 2016 CDBG funds expended in the 2016 program year. Of this amount, \$5,000 was expended for Fair Housing Activities, which falls under Administration/Planning, \$26,000 was expended for senior activities at the North Utica Senior Center. The Center is not located within the Consolidated Plan Target Area, however public services for senior citizens are for the benefit of low- to moderate-income persons and families since senior citizens are presumed to be low/mod. Additionally, the amount includes \$5,000 for a Study Buddy club and

\$32,584 for a Young Scholars program, both aimed at education and mentorship for income-eligible youth but for which the services are not located within the Consolidated Plan Target Area.

Leveraging

Explain how federal funds leveraged additional resources (private, state and local funds), including a description of how matching requirements were satisfied, as well as how any publicly owned land or property located within the jurisdiction that were used to address the needs identified in the plan.

According to the PR33 HOME Matching Liability Report, the City of Utica has a Match Liability Amount of \$0.00 for the 2016 program year, as it has dating back to 2003. This 100% match reduction is provided based on the fact that the City of Utica has been determined to be under severe fiscal distress. To meet the definition of severe fiscal distress, the City's percentage of families in poverty must exceed 19.42 percent, which is 125 percent of the average national rate for families in poverty of 15.54 percent. Additionally, the City's per capita income must have been less than \$20,966, which is 75 percent of the average per capita income of \$27,955.

While not formally required, the City annually tracks the amount of funds leveraged by its public service subrecipients use of Community Development Block Grant funds. For the 2016 program year, a total of \$319,995 in funding was leveraged by the expenditure of \$1,583,597 in Community Development Block Grant funds. This was broken down among the following subrecipients: Underground Cafe (\$130,050), Utica Public Library senior transportation program (\$18,144), Young Scholars youth mentoring program (\$1,000), Boy's & Girl's Club (\$58,180) and Parkway Senior Center (\$112,621).

Fiscal Year Summary – HOME Match	
1. Excess match from prior Federal fiscal year	0
2. Match contributed during current Federal fiscal year	0
3. Total match available for current Federal fiscal year (Line 1 plus Line 2)	0
4. Match liability for current Federal fiscal year	0
5. Excess match carried over to next Federal fiscal year (Line 3 minus Line 4)	0

Table 5 – Fiscal Year Summary - HOME Match Report

Match Contribution for the Federal Fiscal Year								
Project No. or Other ID	Date of Contribution	Cash (non-Federal sources)	Foregone Taxes, Fees, Charges	Appraised Land/Real Property	Required Infrastructure	Site Preparation, Construction Materials, Donated labor	Bond Financing	Total Match

Table 6 – Match Contribution for the Federal Fiscal Year

HOME MBE/WBE report

Program Income – Enter the program amounts for the reporting period				
Balance on hand at beginning of reporting period \$	Amount received during reporting period \$	Total amount expended during reporting period \$	Amount expended for TBRA \$	Balance on hand at end of reporting period \$
0	0	0	0	0

Table 7 – Program Income

Minority Business Enterprises and Women Business Enterprises – Indicate the number and dollar value of contracts for HOME projects completed during the reporting period						
	Total	Minority Business Enterprises				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Contracts						
Dollar Amount	0	0	0	0	0	0
Number	0	0	0	0	0	0
Sub-Contracts						
Number	0	0	0	0	0	0
Dollar Amount	0	0	0	0	0	0
	Total	Women Business Enterprises	Male			
Contracts						
Dollar Amount	0	0	0			
Number	0	0	0			
Sub-Contracts						
Number	0	0	0			
Dollar Amount	0	0	0			

Table 8 - Minority Business and Women Business Enterprises

Minority Owners of Rental Property – Indicate the number of HOME assisted rental property owners and the total amount of HOME funds in these rental properties assisted						
	Total	Minority Property Owners				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Number	0	0	0	0	0	0
Dollar Amount	0	0	0	0	0	0

Table 9 – Minority Owners of Rental Property

Relocation and Real Property Acquisition – Indicate the number of persons displaced, the cost of relocation payments, the number of parcels acquired, and the cost of acquisition

Parcels Acquired		0	0			
Businesses Displaced		0	0			
Nonprofit Organizations Displaced		0	0			
Households Temporarily Relocated, not Displaced		0	0			
Households Displaced	Total	Minority Property Enterprises				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Number	0	0	0	0	0	0
Cost	0	0	0	0	0	0

Table 10 – Relocation and Real Property Acquisition

CR-20 - Affordable Housing 91.520(b)

Evaluation of the jurisdiction's progress in providing affordable housing, including the number and types of families served, the number of extremely low-income, low-income, moderate-income, and middle-income persons served.

	One-Year Goal	Actual
Number of Homeless households to be provided affordable housing units	420	0
Number of Non-Homeless households to be provided affordable housing units	60	8
Number of Special-Needs households to be provided affordable housing units	15	0
Total	495	8

Table 11 – Number of Households

	One-Year Goal	Actual
Number of households supported through Rental Assistance	20	0
Number of households supported through The Production of New Units	70	0
Number of households supported through Rehab of Existing Units	20	8
Number of households supported through Acquisition of Existing Units	0	0
Total	110	8

Table 12 – Number of Households Supported

Discuss the difference between goals and outcomes and problems encountered in meeting these goals.

In reviewing Table 12, the biggest difference between projected goals and actual outcomes is the lack of production of new units. Currently, there are a number of larger housing projects that have been on the drawing board for several years and to which the City of Utica committed HOME funds that have not gone from the drawing board to groundbreaking. The most significant of these housing projects is Roosevelt Residences. Roosevelt Residences is a \$13 million dollar, scattered site housing development that will result in the construction of upwards of 50 new units of housing being advanced by the Utica

Municipal Housing Authority (UMHA). To this project, the City of Utica committed \$500,000 in HOME funds several years ago. However, due to the size of the project and issues with State funding, the project has not broken ground yet. As of the writing of this evaluation report, UMHA fully expects to have the issues with State funding ironed out and for construction on this project to begin in early Fall.

Other large-scale affordable housing projects, such as the Globe Mill project in West Utica and the Hotel Street project in Bagg's Square, is in a similar state for similar reasons. Other projects, including the West Street project being advanced by the Rescue Mission and the rehabilitation of the former Jeffrey Hardware building, have just recently started construction and have not reached a point where HOME dollars that may have been committed for construction can be drawn down by the City of Utica.

Discuss how these outcomes will impact future annual action plans.

In the future, the City of Utica will need to be more judicious in its commitment of HOME dollars. Rather than being the first dollars in to a project, the commitment of HOME dollars may have to wait until the project is more fully financed.

Include the number of extremely low-income, low-income, and moderate-income persons served by each activity where information on income by family size is required to determine the eligibility of the activity.

Number of Households Served	CDBG Actual	HOME Actual
Extremely Low-income	107	2
Low-income	5,196	6
Moderate-income	0	0
Total	5,303	8

Table 13 – Number of Households Served

Narrative Information

The figures in Table 13 for CDBG funds are derived from year-end progress reports submitted by the City of Utica's public service subrecipients. The figures in Table 13 for HOME funds are derived from the IDIS HOME Summary of Accomplishments report in IDIS.

CR-25 - Homeless and Other Special Needs 91.220(d, e); 91.320(d, e); 91.520(c)

Evaluate the jurisdiction's progress in meeting its specific objectives for reducing and ending homelessness through:

Reaching out to homeless persons (especially unsheltered persons) and assessing their individual needs

In a recent 12 month period, the CoC and ESG funded PSH programs in our CoC provided supportive housing to 136 unique chronically homeless persons, a large increase from previous years. This increase in CH capacity was the result of our strategies and actions outlined in the FY2013/FY2014 CoC Application to 1.) Make more beds available to CH persons entering one of our three Shelter Plus Care rental assistance programs; 2.) Increase access to permanent housing for veterans in programs not funded by the CoC or the VA by using ESG Rapid Rehousing funds for veterans and by serving more chronically homeless veterans with VA-funded SSVF resources. There are also two additional projects that are in the late development stages in the City of Utica to provide an additional 16 new beds for chronically homeless single adults (8 male and 8 female). Johnson Park Center, an ESG and CoC grantee, has received NY State funding and is preparing to break ground for 8 new units in the fall of 2016 and the project sponsored by the Rescue Mission of Utica (an ESG grantee) is on track to receive state funding this year as well.

Addressing the emergency shelter and transitional housing needs of homeless persons

In a recent 12 month period, the CoC and ESG funded PSH programs in our CoC provided supportive housing to 136 unique chronically homeless persons, a large increase from previous years. This increase in CH capacity was the result of our strategies and actions outlined in the FY2013/FY2014 CoC Application to 1.) Make more beds available to CH persons entering one of our three Shelter Plus Care rental assistance programs; 2.) Increase access to permanent housing for veterans in programs not funded by the CoC or the VA by using ESG Rapid Rehousing funds for veterans and by serving more chronically homeless veterans with VA-funded SSVF resources. There are also two additional projects that are in the late development stages in the City of Utica to provide an additional 16 new beds for chronically homeless single adults (8 male and 8 female). Johnson Park Center, an ESG and CoC grantee, has received NY State funding and is preparing to break ground for 8 new units in the fall of 2016 and the project sponsored by the Rescue Mission of Utica (an ESG grantee) is on track to receive state funding this year as well.

Two CoC NY-518 agencies working in partnership with the City of Utica have also secured funding for new emergency housing beds for homeless youth – the first ever emergency housing beds for youth in Utica. Both agencies have identified sites for their youth shelters and are moving forward to get them operational in CY 2016.

The City of Utica is also home to three transitional housing programs for homeless youth and a

transitional housing program for domestic violence victims and their children funding with a combination of CoC, ESG, private funds and state grants.

To better facilitate for homeless individuals and families to affordable housing units, the Utica Municipal Housing Authority has implemented a homeless preference for both their public housing units and for their Housing Choice Voucher Program, and the CoC in partnership with the City of Utica, Rescue Mission of Utica and the Vecino Group are currently developing two large (42-unit and a 46-unit) affordable housing projects in the central city area and both projects with have units dedicated to homeless persons and families only.

Helping low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families and those who are: likely to become homeless after being discharged from publicly funded institutions and systems of care (such as health care facilities, mental health facilities, foster care and other youth facilities, and corrections programs and institutions); and, receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs

<p align="center">Help and assistance for those who are the most likely to become homeless after discharge from publicly funded institutions and systems of care is provided through the Oneida County Department of Mental Health (for those discharged from mental health facilities), the Oneida County Department of Social Services (for youth aging out of foster care), and the Oneida County Prison Reentry Task Force (a program managed by the Oneida County Probation Department that provides reentry services including housing to persons discharged from NYS prisons).</p>

Helping homeless persons (especially chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth) make the transition to permanent housing and independent living, including shortening the period of time that individuals and families experience homelessness, facilitating access for homeless individuals and families to affordable housing units, and preventing individuals and families who were recently homeless from becoming homeless again

<p align="center"> </p><p align="center">The City of Utica since 2014 has funded the Utica Center for Development's Rapid Re-housing Program in the amount of \$15,000 per year. This additional assistance helps the Center to house veterans who are ineligible for SSVF assistance due to dishonorable discharge or prior felony charges. Johnson Park Center assists families and individuals from throughout the city. Referrals often come from Oneida County Department of Social Services as well as organizations such as the Rescue Mission. This year JPC has rapidly rehoused 8 chronically homeless individuals.</p>

CR-30 - Public Housing 91.220(h); 91.320(j)

Actions taken to address the needs of public housing

- Obtained funding commitments of over \$14M to construct the Roosevelt Residences project which will provide new 50 units of affordable housing in the Cornhill neighborhood;
- Obtained a grant of \$53K from the Empire State Supportive Housing Initiative to provide case management services to Roosevelt Residences tenants;
- Secured ROSS Service Coordinator grants in the amount of \$738K for the Marino-Perretta, Gillmore-Humphrey, and Adrean-Matt Resident Associations to continue resident service programs;
- Garnered funding in the amount of \$181K from the Corporation for National Service and The Community Foundation of Herkimer and Oneida Counties to continue the operation of the AmeriCorps program;
- Received a second grant of \$189K from the NYS Homes and Community Renewal to install security improvements at the Chancellor Apartments;
- Created a new not for profit corporation – Central New York Community Solutions – to enable the housing authority to apply for funding from private foundations, corporations, and governmental entities;
- Secured funding in the amount of \$300K from the NYS Homes and Community Renewal for a Window Replacement Project for Chancellor Apartments;
- Obtained renewal funding for the Family Self-Sufficiency program in the amount of \$69K;
- Received a third Summer Youth Employment Program grant of \$6,500 from the Workforce Development Board to provide training in green collar occupations for 16 public housing youth residents.
- Implemented the Section 3 Paint Your Way to Success program which trained 8 PHA residents in painting and entrepreneurial skills;
- Created a new community garden at Gillmore Village to help residents save money on food and eat better;
- Revamped the public housing admissions process using pre-application forms to improve customer service;
- Increased security and tenant relations staff to increase services to residents;

- Installed lockboxes at developments to make it easy for residents to pay rent:
- Awarded laptops to graduating public housing high school seniors as part of the Dan Daniels Memorial Scholarship Fund;
- Sponsored successful community outreach events including a homeownership seminar, fair housing training, M/WBE outreach, and a construction career fair;
- Collaborated with the City of Utica and community groups to renovate the City-Owned Gillmore Village Park;

Actions taken to encourage public housing residents to become more involved in management and participate in homeownership

During 2016-2017, the UMHA made significant progress to empower residents:

- It helped the resident associations to become New York State not for profit corporations and apply for IRS tax exempt status.
- The Resident Associations used funding from their ROSS grants to provide resident and staff leadership training.
- In cooperation with the Neighborhood Center, the UMHA implemented the nationally validated Circles Program build resident self-help and resiliency skills.
- New resident associations have been organized at Humphrey Gardens and Chancellor Apartments. Community building activities have been held such as outdoor movie nights, festivals, and other events to engage residents with each other and the greater community.

Unlike most private landlords, the UMHA provides a broad range of services designed to address the needs of our diverse resident population. The housing authority has adopted a supportive housing model to integrate housing and services. Education and self-sufficiency programs and services are tailored to the needs of the population being housed. Supportive services can be either on-site or off-site. Housing and supportive services are interdependent; both are less effective in the absence of the other. Services are provided to help residents secure education, employment, food, job training,

health, and income supports.

Despite funding cuts to HUD programs, the UMHA will continue to develop new programs and partnerships between the public and private sectors to improve the quality of services and programs for residents as well as to better meet our residents' educational, employment, health, and cultural needs.

Actions taken to provide assistance to troubled PHAs

Not Applicable - The Utica Municipal Housing Authority is not a troubled housing authority

CR-35 - Other Actions 91.220(j)-(k); 91.320(i)-(j)

Actions taken to remove or ameliorate the negative effects of public policies that serve as barriers to affordable housing such as land use controls, tax policies affecting land, zoning ordinances, building codes, fees and charges, growth limitations, and policies affecting the return on residential investment. 91.220 (j); 91.320 (i)

As noted in last year's CAPER, the City has embarked on an initiative to completely re-write its zoning ordinance, following on the adoption of a new comprehensive plan back in 2011. Backed by a \$170,000 grant from the New York State Energy Research and Development Authority (NYSERDA), the City spent the 2016-2017 program year going through a competitive process (Request For Proposals) in order to procure the services of a team of consultants that included a land use attorney and a professional land use planning firm to assist the City with the process. A significant focus of the zoning code re-write has been to focus on those barriers to affordable housing that are within the City's existing zoning code and how best to eliminate those barriers.

In addition, the Utica Industrial Development Agency (UIDA) has induced a number of projects during the 2016-2017 program year that include affordable housing; those inducements carry with them the potential for financial incentives that make the projects more financially feasible. The financial incentives range from exemption from sales tax on building materials, exemption from the mortgage recording tax when acquiring property and even Payment In Lieu Of Taxes (PILOT) agreements. As a result of the increased demand for affordable housing projects throughout the City, the UIDA is considering revising its Uniform Tax Exemption Policy to make it easier for such projects to be reviewed and potentially approved.

Actions taken to address obstacles to meeting underserved needs. 91.220(k); 91.320(j)

Staff of the City's Department of Urban & Economic Development maintain a watchful eye for any and all potential grants which might be leveraged by the City's federal entitlement funds. The Department is intimately involved in New York State's Consolidated Funding Application (CFA) process. With application deadlines traditionally falling in the summer, Department staff spend much of the fall and winter preparing project ideas to make them application-ready. Many of the local not-for-profits, particularly those involved in housing and social services, likewise spend this time bringing potential projects to a maturity where funding applications can be submitted. Department staff frequently work with these providers, as CDBG or HOME dollars can sometimes be utilized as match dollars.

In the 2016-2017 program, Department staff was heavily involved in the preparation and submittal of a Downtown Revitalization Initiative (DRI) application. The DRI is an initiative by Governor Cuomo whereby each of the State's ten Regional Economic Development districts would select one downtown based on a competitive application process; that downtown would be awarded \$10 million in State funds to take on and implement transformational projects within their downtown. Unfortunately, the City of Utica was not the recipient of the 2016 award. As of the writing of this evaluation report,

Department staff were readying an application for the City's downtown for the 2017 application round.

Actions taken to reduce lead-based paint hazards. 91.220(k); 91.320(j)

After not submitting a grant application to the United States Department of Housing & Urban Development (HUD) in 2016 for funding through the Lead Based Paint Hazard Reduction Program, the City redoubled its efforts in 2017. As in 2015, the City of Utica worked very closely with the Community Foundation of Herkimer & Oneida Counties, Inc. and the coalition that has developed around this issue as part of the Foundation's "Lead Free MV" initiative. Earlier this year, the City submitted an application seeking \$3 million utilizing Community Foundation funding as the City's required match against the request for Federal funds.

Unfortunately, the City received notice from HUD shortly after the end of the 2016-2017 program year that the City's application was deemed 'ineligible' for funding. The City disputes this finding and reached out to Senator Charles Schumer's office for assistance in fighting this determination. At the writing of this evaluation report, no official decision on the City's calling this decision into question has been received.

Through its recognition as a Promise Zone finalist in 2016, the City of Utica is working with HUD and the US Environmental Protection Agency (EPA) on identifying other potential federal programs that could assist the City in addressing its overwhelming lead-based paint issue, particularly in homes of low- to moderate-income persons and families.

Actions taken to reduce the number of poverty-level families. 91.220(k); 91.320(j)

The City continues to work on developing and implementing its State award of \$1.5 million through Governor Cuomo's Empire State Poverty Reduction Initiative (ESPRI), a statewide anti-poverty effort. As of the writing of this evaluation report, the City of Utica is in the first phase of the effort which involves assessing the needs in order to develop a plan which will be implemented in the second phase. The Community Needs Assessment, developed by the City nearly two years ago after considerable public and stakeholder outreach with assistance from HUD, is forming the basis of the needs assessment for the State's anti-poverty program.

As required by the State program, the City is working with the local United Way who has contracted with the State for the administration of these grant funds. As such, the United Way has hired sufficient staff with which to oversee the program. To date, numerous public outreach meetings have been conducted in an effort to hear from impoverished families and individuals. At the time of the writing of this evaluation report, workgroups focusing on specific areas of needs (housing, education, transportation, child care, etc.) are scheduled to be meeting throughout the month of June. It is anticipated that specific programs will be developed to address the identified needs and that the State funding will be used to implement those programs in the City's 2017-2018 program year.

Actions taken to develop institutional structure. 91.220(k); 91.320(j)

For the second straight year, the City's Department of Urban & Economic Development is faced with the loss of a key staff member at the same position. With the loss of its dedicated HOME Program Coordinator in 2015, the City ended up contracting with Cornell Cooperative Extension (CCE) for the administration of its HOME Program. CCE provided a staff person that was familiar with housing and community development, particularly as they relate to the City of Utica. Significant time, energy and funding was invested in this staff person to ensure that she was properly trained in the federal rules and regulations that govern the administration of the HOME Program. Unfortunately, at the end of the 2016-2017 program year, the staff person left her employment with CCE to join the staff of The Community Foundation of Herkimer & Oneida Counties, Inc.

The City, and the Department of Urban & Economic Development, is viewing this as an opportunity to re-think that manner by which its HOME Program is administered. As of the writing of this evaluation report, the Department is in the process of creating a full-time, permanent position with the Department. It is the Department's intent to create and fill that position by August 1st and then to spare no expense in ensuring that the person that is hired for that position is properly trained in all aspects of the HOME Program rules and regulations.

Actions taken to enhance coordination between public and private housing and social service agencies. 91.220(k); 91.320(j)

The City of Utica continues to maintain close coordination with the Utica Municipal Housing Authority as well as numerous private housing and social service agencies that assist the low- to moderate-income residents of the City of Utica.

Many of those agencies regularly attend the regular meetings of the Mohawk Valley Housing and Homeless Coalition, which is the Continuum of Care for the Utica-Rome area. The City of Utica sends two representatives to those regular meetings – one from the City's Section 8 program and a planner from the Department of Urban & Economic Development.

Like the Continuum of Care, the City also participates in a number of other regional working groups that requires close coordination between the City and public and private housing and social service agencies. For instance, the Lead Free MV coalition that has been developed by The Community Foundation of Herkimer & Oneida Counties, LLC and discussed above, boasts a membership of nearly fifty entities, many of whom are public and private housing and social service agencies.

Additionally, the City's work through NY's Empire State Poverty Reduction Initiative brings together various public and private housing and social services agencies with various City departments in an effort to end poverty in the City of Utica.

Identify actions taken to overcome the effects of any impediments identified in the jurisdictions analysis of impediments to fair housing choice. 91.520(a)

For the past several years, the City of Utica has contracted with CNY Fair Housing out of Syracuse to assist the City in addressing impediments to fair housing choice as identified in the City's Analysis of Impediments (AI); this practice continued in the 2015 – 2016 program year with a \$5,000 contract.

As part of that contract, CNY Fair Housing conducted a number of classes and seminars on the topic of fair housing as 'lack of education' on that topic was the number one impediment cited within the City's AI.

CR-40 - Monitoring 91.220 and 91.230

Describe the standards and procedures used to monitor activities carried out in furtherance of the plan and used to ensure long-term compliance with requirements of the programs involved, including minority business outreach and the comprehensive planning requirements

All CDBG programs are focused on meeting the needs of low/moderate income households and individuals. Without CDBG funding, many of the programs would be unable to assist as many people. Throughout the funding cycle and awarding of CDBG funds, the City works towards directing funding to projects that meet the goals and objectives in the consolidated plan.

The City of Utica ensures that CDBG/ESG/HOME subrecipients maintain financial, statistical, and programmatic records of their operations and financial activities in accordance with HUD regulations. Remote monitoring of subrecipients occurs on an on-going basis with the submission of reimbursement requests with required supporting documentation and quarterly program reports. All reimbursement requests and documentation are reviewed by staff for accuracy, completeness, and compliance with approved budget and program guidelines. As an added control, quarterly reports must be current in order to receive reimbursement payments. City staff reviews the quarterly program reports to ensure work is being carried out as described in the application and agreement. City staff also examines the program reports and financial information submitted in order to conduct risk assessments, ensure production, accountability, and to evaluate each agency's organizational and project performance. Because the City's CDBG Program operates on a reimbursement basis, City staff is able to closely monitor the expenditures of each sub-recipient to ensure that all expenses are eligible for reimbursement. Subrecipient beneficiary reporting is a condition for cost reimbursement. City staff maintains an open door policy for all agencies and frequent unofficial visits are made to sub recipients throughout the year. In addition, City staff conducts on-site monitoring visits with all of the subrecipient agencies. The on-site audit generally includes an evaluation of the subrecipient's compliance with HUD program regulations by reviewing the program source documentation as it relates to the national objectives, a review of subrecipient's financial records and client files, a tour of the facility or program when applicable, a review of subrecipient's program and financial policies and procedures, and a review of the annual single audit required of those subrecipients.

Utilizing checklists developed for each activity/project, Department staff will conduct the on-site monitoring visit by meeting with appropriate staff, reviewing a random selection of files and observing the conduct of each activity. The results of each monitoring visit are then incorporated into each Department project file.

The City of Utica focuses on areas of eligibility of beneficiaries and expenditures. Overall, programs and

projects have a good record, especially given that funds are disbursed on a reimbursement basis, with source documents reviewed prior to approval. City staff works closely with all sub-recipients and maintains close working relationships to ensure all work is completed according to CDBG regulations and contract requirements. This also allows for City staff to determine areas of concern with each sub-recipient, in addition to areas where enhanced guidance may be needed with future contracts.

Citizen Participation Plan 91.105(d); 91.115(d)

Describe the efforts to provide citizens with reasonable notice and an opportunity to comment on performance reports.

Citizens will be provided with a minimum of fifteen (15) days to receive comments on the performance reports that are required to be submitted to HUD before their submission with a notice on the City's website, social media sites, posting on the City bulletin board, Section 8 Department, Utica Municipal Housing sites and/ or via a legal advertisement in the Observer Dispatch. All comments or views of citizens received in writing, or orally at public hearings in preparing the performance report will be considered and a summary of these comments shall be attached to the performance report.

The performance reports will be available to the public (electronic or paper copies), including the availability of materials in a form accessible to persons with disabilities, upon request at City Hall, 1 Kennedy Plaza, Department of Urban and Economic Development, 2nd Floor.

CR-45 - CDBG 91.520(c)

Specify the nature of, and reasons for, any changes in the jurisdiction's program objectives and indications of how the jurisdiction would change its programs as a result of its experiences.

As was noted in last year's CAPER, the City of Utica spent much of the 2016-2017 program year addressing a timeliness issue with respect to its Community Development Block Grant program. The issue arose due to a change in the manner by which HUD HQ now calculates the timeliness ratio. Prior to this past program year, program income was not included in the calculation. Starting with this program year and moving forward, program income will now be included in the calculation. As such, the City of Utica must carefully monitor its program income balance throughout the course of the program year and be prepared to allocate it and spend it as necessary. Additionally, as the City prepares its Annual Action Plan for the 2017-2018 program year, consideration must be given to ensuring that the activities to which CDBG funds are allocated are ones for which the funding can be spent quickly. This is expected to be a challenge, particularly given the lateness with which the City received its allocation and will be submitting its Plan and, subsequently, receiving its funding.

Does this Jurisdiction have any open Brownfields Economic Development Initiative (BEDI) grants?

No

[BEDI grantees] Describe accomplishments and program outcomes during the last year.

CR-50 - HOME 91.520(d)

Include the results of on-site inspections of affordable rental housing assisted under the program to determine compliance with housing codes and other applicable regulations

Please list those projects that should have been inspected on-site this program year based upon the schedule in §92.504(d). Indicate which of these were inspected and a summary of issues that were detected during the inspection. For those that were not inspected, please indicate the reason and how you will remedy the situation.

The City of Utica has a diligent and comprehensive monitoring program that ensures projects are regularly monitored throughout construction as well as during the applicable affordability period. For projects which are in the construction phase, City staff (including Urban & Economic Development staff and Codes Enforcement officers) regularly visit sites to ensure that construction is progressing 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 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 projects) or a final inspection (rehabilitation projects). Additionally, as part of the reimbursement process for rental development projects, the City requires that prior to the final disbursement of funds, the development organization submit all beneficiary data for review and approval. For homeowner-occupied rehabilitation projects and homebuyer projects, the City requires that beneficiary data be submitted 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 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 HUD rules and regulations, the time since the last monitoring occurred, the level of staff turnover or organizational restructuring that has occurred and the amount of the investment that the City has made through the organization.

During the 2016-2017 program year, Department staff performed on-site monitoring visits at the following projects (including their IDIS Activity #): Johnson Park Apts., Phase II (564), Oneida Homes 4A (687-97), HOPE VI Replacement Housing (700), Oneida Homes 4B (706-10, 715-17), Oneida Homes 4C (711-14), Johnson Park Apts., Phase VI (723), Oneida Homes 4D (967-975), West Utica HOME Ownership (1195), Lansing Street (1152 and 1410), Johnson Park Apt., Phase V (1253), Home Preservation (1255), Kennedy Plaza Rehab (1269), SAFE Program - Year 1 (1392-1396), SAFE Program - Year 2, Center City Homeowner Rehab, Center City Rental Rehab, Lansing Street (2) (1411), Johnson Park Apt., Phase VI and SAFE Program - Year 3. Of those projects, no significant issues were identified during the course of on-site monitoring. The only project that did not receive on-site monitoring at the time of this evaluation report was Genesee Crossings (1397-1409); Department staff is in the process of scheduling that on-site

monitoring visit.

Provide an assessment of the jurisdiction's affirmative marketing actions for HOME units.

92.351(b)

Refer to IDIS reports to describe the amount and use of program income for projects, including the number of projects and owner and tenant characteristics

In reviewing PR27, a total of \$0.00 was authorized in program income for the City of Utica for Administration purposes in the 2016-2017 program year. Only slightly more, \$9,454.80, was receipted in program income during the timeframe. All of that, 100%, was committed to eligible activities and disbursed.

Describe other actions taken to foster and maintain affordable housing. 91.220(k) (STATES ONLY: Including the coordination of LIHTC with the development of affordable housing). 91.320(j)

In the past two to three years, the City has witnessed a renewed interest in the development of housing in all neighborhoods of the City and for a variety of housing types and target incomes.

Many of the projects, particularly those focused on low- to moderate-income persons and families provide for the inclusion of Low Income Housing Tax Credits as part of the financing. Invariably, the developers also ask for the City to commit HOME or CDBG dollars to the project. Additionally, many developers also seek Payment In Lieu Of Tax (PILOT) arrangements for the duration of the project as well, either directly through the Common Council or through the Utica Industrial Development Agency (UIDA). In fact, as noted earlier in this report, the UIDA is considering altering their investment policies to specifically include standards for housing projects.

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 M
Last Name LAWRENCE
Suffix 0
Title Planner

ESG Contact Address

Street Address 1 1 Kennedy Plaza
Street Address 2 0
City Utica
State NY
ZIP Code 13502-
Phone Number 3157920193
Extension 0
Fax Number 3157976607
Email Address CLAWRENCE@CITYOFUTICA.COM

ESG Secondary Contact

Prefix Mrs
First Name Cathy
Last Name Mack
Suffix 0
Title Administrative Aid
Phone Number 3157920181
Extension 0
Email Address cmack@cityofutica.com

2. Reporting Period—All Recipients Complete

Program Year Start Date 04/01/2016
Program Year End Date 03/31/2017

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: 14660

Subrecipient or Contractor Name: YWCA OF THE MOHAWK VALLEY

City: Utica

State: NY

Zip Code: 13502, 4606

DUNS Number: 077297562

Is subrecipient a victim services provider: Y

Subrecipient Organization Type: Faith-Based Organization

ESG Subgrant or Contract Award Amount: 58000

Subrecipient or Contractor Name: JCTOD OUTREACH INC.

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: 27000

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: 713150

Subrecipient or Contractor Name: Utica Center for Development

City: Utica

State: NY

Zip Code: 13502,

DUNS Number:

Is subrecipient a victim services provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 12500

Subrecipient or Contractor Name: Rescue Mission of Utica

City: Utica

State: NY

Zip Code: 13501, 3618

DUNS Number:

Is subrecipient a victim services provider: N

Subrecipient Organization Type: Faith-Based Organization

ESG Subgrant or Contract Award Amount: 12000

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
Total	0

Table 16 – Household Information for Homeless Prevention Activities

4b. Complete for Rapid Re-Housing Activities

Number of Persons in Households	Total
Adults	41
Children	13
Don't Know/Refused/Other	0
Missing Information	0
Total	54

Table 17 – Household Information for Rapid Re-Housing Activities

4c. Complete for Shelter

Number of Persons in Households	Total
Adults	106
Children	33
Don't Know/Refused/Other	0
Missing Information	0
Total	139

Table 18 – Shelter Information

4d. Street Outreach

Number of Persons in Households	Total
Adults	147
Children	46
Don't Know/Refused/Other	0
Missing Information	0
Total	193

Table 19 – Household Information for Street Outreach

4e. Totals for all Persons Served with ESG

Number of Persons in Households	Total
Adults	39
Children	154
Don't Know/Refused/Other	0
Missing Information	0
Total	193

Table 20 – Household Information for Persons Served with ESG

5. Gender—Complete for All Activities

	Total
Male	39
Female	154
Transgender	0
Don't Know/Refused/Other	0
Missing Information	0
Total	193

Table 21 – Gender Information

6. Age—Complete for All Activities

	Total
Under 18	46
18-24	33
25 and over	114
Don't Know/Refused/Other	0
Missing Information	0
Total	193

Table 22 – 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	0	0	0	0
Victims of Domestic Violence	0	0	0	0
Elderly	0	0	0	0
HIV/AIDS	0	0	0	0
Chronically Homeless	0	0	0	0
Persons with Disabilities:				
Severely Mentally Ill	0	0	0	0
Chronic Substance Abuse	0	0	0	0
Other Disability	0	0	0	0
Total (Unduplicated if possible)	0	0	0	0

Table 23 – Special Population Served

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

10. Shelter Utilization

Number of New Units - Rehabbed	0
Number of New Units - Conversion	0
Total Number of bed-nights available	0
Total Number of bed-nights provided	0
Capacity Utilization	0.00%

Table 24 – Shelter Capacity

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

CR-75 – Expenditures

11. Expenditures

11a. ESG Expenditures for Homelessness Prevention

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
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
Subtotal Homelessness Prevention	0	0	0

Table 25 – ESG Expenditures for Homelessness Prevention

11b. ESG Expenditures for Rapid Re-Housing

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
Expenditures for Rental Assistance	25,386	48,238	77,815
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
Subtotal Rapid Re-Housing	25,386	48,238	77,815

Table 26 – ESG Expenditures for Rapid Re-Housing

11c. ESG Expenditures for Emergency Shelter

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
Essential Services	61,090	78,601	97,000
Operations	0	0	0
Renovation	0	0	0

Major Rehab	0	0	0
Conversion	0	0	0
Subtotal	61,090	78,601	97,000

Table 27 – ESG Expenditures for Emergency Shelter

11d. Other Grant Expenditures

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
Street Outreach	0	0	0
HMIS	6,000	6,000	6,000
Administration	9,113	14,813	14,660

Table 28 - Other Grant Expenditures

11e. Total ESG Grant Funds

Total ESG Funds Expended	2014	2015	2016
	101,589	147,652	195,475

Table 29 - Total ESG Funds Expended

11f. Match Source

	2014	2015	2016
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	959,146	657,472	0
Fees	0	0	0
Program Income	0	0	0
Total Match Amount	959,146	657,472	0

Table 30 - Other Funds Expended on Eligible ESG Activities

11g. Total

Total Amount of Funds Expended on ESG Activities	2014	2015	2016
	1,060,735	805,124	195,475

Table 31 - Total Amount of Funds Expended on ESG Activities

Attachment

Attachment 1



PART I: SUMMARY OF CDBG RESOURCES

01 UNEXPENDED CDBG FUNDS AT END OF PREVIOUS PROGRAM YEAR	4,476,696.37
02 ENTITLEMENT GRANT	2,177,142.00
03 SURPLUS URBAN RENEWAL	0.00
04 SECTION 108 GUARANTEED LOAN FUNDS	0.00
05 CURRENT YEAR PROGRAM INCOME	233,280.42
05a CURRENT YEAR SECTION 108 PROGRAM INCOME (FOR SI TYPE)	0.00
06 FUNDS RETURNED TO THE LINE-OF-CREDIT	0.00
06a FUNDS RETURNED TO THE LOCAL CDBG ACCOUNT	0.00
07 ADJUSTMENT TO COMPUTE TOTAL AVAILABLE	0.00
08 TOTAL AVAILABLE (SUM, LINES 01-07)	6,887,118.79

PART II: SUMMARY OF CDBG EXPENDITURES

09 DISBURSEMENTS OTHER THAN SECTION 108 REPAYMENTS AND PLANNING/ADMINISTRATION	1,929,114.85
10 ADJUSTMENT TO COMPUTE TOTAL AMOUNT SUBJECT TO LOW/MOD BENEFIT	194,890.99
11 AMOUNT SUBJECT TO LOW/MOD BENEFIT (LINE 09 + LINE 10)	2,124,005.84
12 DISBURSED IN IDIS FOR PLANNING/ADMINISTRATION	453,493.99
13 DISBURSED IN IDIS FOR SECTION 108 REPAYMENTS	276,650.00
14 ADJUSTMENT TO COMPUTE TOTAL EXPENDITURES	(90,513.86)
15 TOTAL EXPENDITURES (SUM, LINES 11-14)	2,763,635.97
16 UNEXPENDED BALANCE (LINE 08 - LINE 15)	4,123,482.82

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	0.00
19 DISBURSED FOR OTHER LOW/MOD ACTIVITIES	1,855,664.46
20 ADJUSTMENT TO COMPUTE TOTAL LOW/MOD CREDIT	0.00
21 TOTAL LOW/MOD CREDIT (SUM, LINES 17-20)	1,855,664.46
22 PERCENT LOW/MOD CREDIT (LINE 21/LINE 11)	87.41%

LOW/MOD BENEFIT FOR MULTI-YEAR CERTIFICATIONS

23 PROGRAM YEARS(PY) COVERED IN CERTIFICATION	PY: 2014 PY: 2015 PY: 2016
24 CUMULATIVE NET EXPENDITURES SUBJECT TO LOW/MOD BENEFIT CALCULATION	5,577,538.16
25 CUMULATIVE EXPENDITURES BENEFITING LOW/MOD PERSONS	4,859,392.79
26 PERCENT BENEFIT TO LOW/MOD PERSONS (LINE 25/LINE 24)	87.12%

PART IV: PUBLIC SERVICE (PS) CAP CALCULATIONS

27 DISBURSED IN IDIS FOR PUBLIC SERVICES	182,363.22
28 PS UNLIQUIDATED OBLIGATIONS AT END OF CURRENT PROGRAM YEAR	92,765.77
29 PS UNLIQUIDATED OBLIGATIONS AT END OF PREVIOUS PROGRAM YEAR	35,762.00
30 ADJUSTMENT TO COMPUTE TOTAL PS OBLIGATIONS	0.00
31 TOTAL PS OBLIGATIONS (LINE 27 + LINE 28 - LINE 29 + LINE 30)	238,866.99
32 ENTITLEMENT GRANT	2,177,142.00
33 PRIOR YEAR PROGRAM INCOME	247,056.19
34 ADJUSTMENT TO COMPUTE TOTAL SUBJECT TO PS CAP	0.00
35 TOTAL SUBJECT TO PS CAP (SUM, LINES 32-34)	2,424,198.19
36 PERCENT FUNDS OBLIGATED FOR PS ACTIVITIES (LINE 31/LINE 35)	9.85%

PART V: PLANNING AND ADMINISTRATION (PA) CAP

37 DISBURSED IN IDIS FOR PLANNING/ADMINISTRATION	453,493.99
38 PA UNLIQUIDATED OBLIGATIONS AT END OF CURRENT PROGRAM YEAR	0.00
39 PA UNLIQUIDATED OBLIGATIONS AT END OF PREVIOUS PROGRAM YEAR	5,230.30
40 ADJUSTMENT TO COMPUTE TOTAL PA OBLIGATIONS	0.00
41 TOTAL PA OBLIGATIONS (LINE 37 + LINE 38 - LINE 39 + LINE 40)	448,263.69
42 ENTITLEMENT GRANT	2,177,142.00
43 CURRENT YEAR PROGRAM INCOME	233,280.42
44 ADJUSTMENT TO COMPUTE TOTAL SUBJECT TO PA CAP	0.00
45 TOTAL SUBJECT TO PA CAP (SUM, LINES 42-44)	2,410,422.42
46 PERCENT FUNDS OBLIGATED FOR PA ACTIVITIES (LINE 41/LINE 45)	18.60%



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
 Report returned no data.

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
2014	10	1501	5996803	Streetscapes: O'leida Square/Downtown District Streetscapes	03	LMA	\$5,531.00
2014	10	1501	6000560	Streetscapes: O'leida Square/Downtown District Streetscapes	03	LMA	\$1,500.00
2016	12	1615	6044708	Compassion Coalition, Inc.	03	LMA	\$18,326.00
2016	15	1590	5989620	North Utica Senior Center	03A	LMC	\$26,000.00
					03A	Matrix Code	\$26,000.00
2015	2	1580	5984225	Veterans Outreach Center youth boxing-Utica Center for Development	03D	LMC	\$5,823.73
2015	2	1580	5992054	Veterans Outreach Center youth boxing-Utica Center for Development	03D	LMC	\$1,723.45
2015	2	1580	6022665	Veterans Outreach Center youth boxing-Utica Center for Development	03D	LMC	\$17,177.64
					03D	Matrix Code	\$24,724.82
2012	7	1539	5985350	Parks and Recreation: program delivery	03F	LVA	\$2,662.73
2012	7	1585	5985350	Gilmora Village park and basketball courts	03F	LVA	\$12,975.40
2012	7	1585	6005567	Gilmora Village park and basketball courts	03F	LVA	\$3,371.25
2012	7	1597	6005567	O'Connor Park	03F	LVA	\$3,371.25
2014	8	1518	5975255	Chancellor Park Improvements	03F	LMA	\$5,325.00
2015	2	1554	5984225	Kemble Park Improvements	03F	LMA	\$5,512.51
					03F	Matrix Code	\$31,218.14
2016	11	1598	6006070	Street Improvements-Howard Ave (Pleasant Street to James Street)	03K	LMA	\$102,900.00
2016	11	1599	6006070	Street Improvements-Lansing St (John Street to First Street)	03K	LMA	\$79,380.00
2016	11	1599	6009577	Street Improvements-Lansing St (John Street to First Street)	03K	LMA	\$31,871.98
2016	11	1600	6006070	Street Improvements-Tracy St (Francis St to Ganesee Street)	03K	LMA	\$111,720.00
2016	11	1601	6006070	Street Improvements-Sunset Ave	03K	LMA	\$245,000.00
					03K	Matrix Code	\$570,871.48
2014	8	1578	5905955	Residential Sidewalk Replacement (Reimbursement) Program	03L	LMA	\$53,393.50
2014	8	1578	5996803	Residential Sidewalk Replacement (Reimbursement) Program	03L	LMA	\$11,419.80
2014	8	1578	6005314	Residential Sidewalk Replacement (Reimbursement) Program	03L	LMA	\$2,695.00
2014	8	1578	6043775	Residential Sidewalk Replacement (Reimbursement) Program	03L	LMA	\$396.00
2014	10	1603	6006119	International District Sidewalk Improvement	03L	LMA	\$180,000.00
					03L	Matrix Code	\$247,904.30
2014	15	1500	6000560	Demolition: 956 Blecker Street	04	LMA	\$8,240.98
2014	15	1519	6000560	Demolition: 1009 Green Street	04	LMA	\$11,882.16
2014	15	1544	5975255	Demolition program delivery	04	LMA	\$1,912.46
2014	15	1572	5975255	Demolition: 1145 Park Ave	04	LMA	\$23,096.70
2014	15	1572	6000560	Demolition: 1145 Park Ave	04	LMA	\$10,943.98
2014	15	1573	5975255	Demolition: 109 Hobart Street	04	LMA	\$28,916.50
2014	15	1573	6045757	Demolition: 109 Hobart Street	04	LMA	\$18,405.66
2014	15	1574	5975255	Demolition: 1005 Park Ave	04	LMA	\$17,957.70
2014	15	1574	6000560	Demolition: 1005 Park Ave	04	LMA	\$11,435.51



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Plan Year	IDIS Project	IDIS Activity	Voucher Number	Activity Name	Matrix Code	National Objective	Drawn Amount	
2014	15	1575	5975255	Demolition: 1125 Bleecker Street	04	LMA	\$17,701.80	
2014	15	1575	6045757	Demolition: 1125 Bleecker Street	04	LMA	\$25,394.00	
2014	15	1576	5975255	Demolition: 510 Saratoga Street	04	LMA	\$1,536.00	
2014	15	1576	5985955	Demolition: 510 Saratoga Street	04	LMA	\$10,571.40	
2014	15	1576	6000560	Demolition: 510 Saratoga Street	04	LMA	\$2,378.40	
2014	15	1576	6015757	Demolition: 510 Saratoga Street	04	LMA	\$10,444.36	
2014	15	1586	5985955	Demolition: 1605 Oneida Street	04	LMA	\$512.00	
2014	15	1586	6000560	Demolition: 1605 Oneida Street	04	LMA	\$1,146.00	
							04 Matrix Code	\$202,476.61
2016	15	1608	6044708	Utica Center for Development-SNAP Farmers Market	05	LMC	\$4,316.03	
							05 Matrix Code	\$4,916.03
2015	6	1614	6022665	West Side Senior Center	05A	LMC	\$11,269.45	
2016	15	1593	6006070	Parkway Senior Center	05A	LMC	\$25,000.00	
2016	15	1621	6044708	Utica Public Library-Senior Transportation	05A	LMC	\$1,551.00	
							05A Matrix Code	\$38,820.45
2015	6	1546	5984225	Utica Safe Schools-The Underground Cafe Teen Drop In Center	05D	LMC	\$3,282.00	
2015	6	1548	5984225	Utica College Young Scholars Program	05D	LMC	\$27,000.00	
2015	6	1616	6044517	Mohawk Valley Sernal Bantu	05D	LMC	\$10,000.00	
2016	15	1594	5994622	Boys & Girls Club of the Mohawk Valley	05D	LMC	\$10,707.12	
2016	15	1594	6044708	Boys & Girls Club of the Mohawk Valley	05D	LMC	\$9,382.13	
2016	15	1602	6006070	For The Good - Study Buddy Program	05D	LMC	\$3,000.00	
2016	15	1617	6044708	Utica College Young Scholars Program	05D	LMC	\$32,584.34	
							05D Matrix Code	\$103,955.59
2014	1	1623	6045345	Mohawk Valley Resource Ctr Refugees-Market Cart/THINCubator	05H	LMA	\$10,191.15	
2016	15	1596	6006070	RESCUE MISSION JOB TRAINING PROGRAM	05H	LMC	\$25,000.00	
							05H Matrix Code	\$35,191.15
2013	5	1570	5961698	LNHS Center City CDBG Homeowner Rehab: 18 Scott Street	14A	LMH	\$45,125.00	
2013	5	1583	5984508	LNHS Center City CDBG Homeowner Rehab: 711 James Street	14A	LMH	\$45,011.00	
2013	5	1584	5984508	LNHS Center City CDBG Homeowner Rehab: 1217 Leeds Street	14A	LMH	\$71,802.00	
2013	5	1604	6009577	LNHS Center City CDBG Homeowner Rehab: 316 Arthur Street	14A	LMH	\$26,258.00	
2013	5	1609	6019792	LNHS Center City CDBG Homeowner Rehab: 1201 Mathews Ave	14A	LMH	\$41,990.00	
2013	5	1611	6018293	LNHS Center City CDBG Homeowner Rehab: 942 Schuyler Street	14A	LMH	\$46,550.00	
							14A Matrix Code	\$276,736.00
2015	9	1557	5984225	Landmarks Society of Greater Utica	16B	LMA	\$40,000.00	
							16B Matrix Code	\$40,000.00
2014	1	1587	5992318	Adirondack Railway Preservation Society	18A	LMJ	\$5,000.00	
2014	1	1588	5992318	Venus of Malta	18A	LMA	\$5,000.00	
2014	1	1589	5992318	Utica Coffee Roasting	18A	LMA	\$5,000.00	
2015	10	1540	5975255	ERP program delivery	18A	LMJ	\$630.00	
2015	10	1540	5984225	ERP program delivery	18A	LMJ	\$24,833.11	
2015	10	1540	5985350	ERP program delivery	18A	LMJ	\$1,174.42	
2015	10	1577	5984225	Central New York ASC, LLC	18A	LMJ	\$75,000.00	
							18A Matrix Code	\$116,637.53
2015	10	1528	5984225	Special Economic Development Assistance-Urban Planning Studio	18B	LMA	\$23,350.96	
2016	10	1591	5989520	Special Economic Development Assistance-Urban Planning Studio	18B	LMA	\$36,627.48	
2016	10	1591	6018446	Special Economic Development Assistance-Urban Planning Studio	18B	LMA	\$18,000.00	
2016	10	1591	6044708	Special Economic Development Assistance-Urban Planning Studio	18B	LMA	\$375.92	



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Plan Year	IDIS Project	IDIS Activity	Voucher Number	Activity Name	Matrix Code	National Objective	Drawn Amount
2014	1	1607	6043649	Chicklens Museum	18B 19C 19C	Matrix Code LMA Matrix Code	\$78,355.36 \$3,500.00 \$3,500.00
Total							\$1,856,664.46

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
2016	15	1608	6044708	Utica Center for Development-SNAP Farmers Market	05 05	LMC Matrix Code	\$4,916.03 \$4,916.03
2015	6	1614	6022665	West Side Senior Center	05A	LMC	\$11,269.45
2016	15	1593	6006070	Parkway Senior Center	05A	LMC	\$26,000.00
2016	15	1621	6044708	Utica Public Library-Senior Transportation	05A	LMC	\$1,551.00
Total							\$38,820.45
2015	6	1546	5984225	Utica Safe Schools-The Underground Cafe Teen Drop In Center	05D	LMC	\$9,282.00
2015	6	1548	5984225	Utica College Young Scholars Program	05D	LMC	\$27,000.00
2015	6	1616	6044517	Mohawk Valley Somali Banbu	05D	LMC	\$10,000.00
2016	15	1594	5994622	Boys & Girls Club of the Mohawk Valley	05D	LMC	\$10,707.12
2016	15	1594	6044708	Boys & Girls Club of the Mohawk Valley	05D	LMC	\$9,382.13
2016	15	1602	6006070	For The Good - Study Buddy Program	05J	LMC	\$5,000.00
2016	15	1617	6044708	Utica College Young Scholars Program	05D	LMC	\$32,584.34
Total							\$103,955.59
2014	1	1623	6045345	Mohawk Valley Resource Ctr Refugees Market CartyTHINCubator	05H	LMA	\$10,181.15
2016	15	1596	6006070	RESCUE MISSION JOB TRAINING PROGRAM	05I	LMC	\$23,000.00
Total							\$35,191.15
Total							\$182,883.22

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
2015	12	1509	3975255	CDBG program administration	21A		\$6,064.05
2015	12	1509	5984225	CDBG program administration	21A		\$59,277.63
2015	12	1509	3984508	CDBG program administration	21A		\$3,260.47
2016	4	1581	3985350	CDBG ADMINISTRATION COSTS	21A		\$1,476.96
2016	4	1581	3985955	CDBG ADMINISTRATION COSTS	21A		\$20,438.78
2016	4	1581	3992054	CDBG ADMINISTRATION COSTS	21A		\$15,123.42
2016	4	1581	3994622	CDBG ADMINISTRATION COSTS	21A		\$173,560.94
2016	4	1581	3996803	CDBG ADMINISTRATION COSTS	21A		\$1,100.00
2016	4	1581	6005314	CDBG ADMINISTRATION COSTS	21A		\$398.19
2016	4	1581	6006070	CDBG ADMINISTRATION COSTS	21A		\$310.04
2016	4	1581	6018446	CDBG ADMINISTRATION COSTS	21A		\$82,140.71
2016	4	1581	6022665	CDBG ADMINISTRATION COSTS	21A		\$13,737.70
2016	4	1581	6043775	CDBG ADMINISTRATION COSTS	21A		\$43.66
2016	4	1581	6044517	CDBG ADMINISTRATION COSTS	21A		\$7,516.43
2016	4	1581	6044708	CDBG ADMINISTRATION COSTS	21A		\$12,041.31
Total							\$398,493.99
2016	4	1582	3994622	CDBG ADMIN-INDIRECT COSTS	21B		\$25,000.00
2016	4	1582	6044708	CDBG ADMIN-INDIRECT COSTS	21B		\$25,000.00
Total							\$50,000.00
2015	13	1556	6022665	CNY Fair Housing Council	21D		\$5,000.00
Total							\$5,000.00



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Plan Year	IDIS Project	IDIS Activity	Voucher Number	Activity Name	Matrix Code	National Objective	Drawn Amount	
1994	1	1	6025021	HOME COMMITTED FUNDS ADJUSTMENT	21H		\$0.00	
Total						21H	Matrix Code	\$453,493.99