

Robert M. Palmieri, Mayor
Brian Thomas, Commissioner of Urban & Economic Development

City of Utica, New York

2017 – 2018

Annual Action Plan

August 14, 2017



Executive Summary

AP-05 Executive Summary - 24 CFR 91.200(c), 91.220(b)

1. Introduction

If there is a theme to this AAP for the 2017, more so than any such plan in recent memory, is that it seeks to complete a number of initiatives that had been started and funded in previous Plans. For instance, the 2015 AAP allocated \$48K to the construction of Kemble Park, a new playground in Cornhill . Subsequent to that allocation, the City was awarded \$500K in NYS funding through the Consolidated Funding Application system for the construction which required matching funds totaling \$260,720 from the City. Hence, the allocation of \$212,720 in this Annual Action Plan. The City Engineering Dept. has designed the park and is preparing to put the project out to bid, once all necessary funds are secured.

Another example is the Genesee St. Façade Program. In last year's AAP, the City allocated \$90K to this activity. In accordance with the City's policies and procedures for the façade program, the City put together a RFP seeking an architect to assist with the program. As a result of that RFP, a local architect was hired, applications were submitted by eligible property owners and design work has begun. Due to the level of interest from eligible property owners, an additional \$110K has been allocated within this 2017 AAP and additional funds may need to be added from the City's revolving loan program pool of program income.

Additionally, funding has been allocated for the replacement of sidewalk and curbing around the Hotel Utica. For many years, this property has languished with very little investment made by the owners past their initial investment – and the City continuing to pay down the Section 108 loan. While the City continues to retire that debt from its annual CDBG entitlement for 3 more years, the Hotel is now in the hands of new owners with a proven track record and expertise in hotel management and a significant investment is being made by the new owners to update and modernize all areas of the hotel, inside and out.

For the first time in several years, this AAP also allocates funding to demolition. In the 1990's and into the 2000's, the City had an aggressive demolition program, much of it funded with CDBG funds. For the past six years, however, the City has been very successful in getting its properties back into the hands of private owners, thereby putting those properties back on the tax rolls. Unfortunately, a handful of properties have proven difficult, if not impossible, to market and sell. With winter storm Stella earlier this year that dumped nearly 3 feet of snow on the City in a short period of time combined with the virtual non-stop rain through much of this Spring and Summer, a number of City-owned properties have begun to collapse and must be addressed in the 2017 program year with this allocation.

The Plan that follows was developed based on an extensive public outreach effort and coordination with numerous community partners, including the Continuum of Care and the Municipal Housing Authority. The Plan adheres to all applicable HUD requirements.

2. Summarize the objectives and outcomes identified in the Plan

This could be a restatement of items or a table listed elsewhere in the plan or a reference to another location. It may also contain any essential items from the housing and homeless needs assessment, the housing market analysis or the strategic plan.

The CNA completed in '14 continued to play a role in the activities funded in this AAP. While last year represented the 2nd year of that 2-year action plan, a # of goals and subgoals remained. Therefore, in an effort to fully implement the action plan, staff of the Dept of Urban & Economic Development made the decision to again utilize an RFP method as a means of soliciting projects from the community for allocation of CDBG funds. Priority was given to proposals that responded to the following goals and subgoals:

Goal 1: Facilitate Employment **Subgoals:** Daycare Provider Assistance & Daycare Entrepreneur Certification

The City will work with existing agencies to identify, enable, train and certify/license new daycare providers to provide quality care (including nutritious meals) to children and families. The Plan commits to a goal of certifying at least 1 additional provider and to updating the childcare provider inventory.

Goal 3: Improve Educational Opportunities **Subgoals:** Adult Learner Outreach Programs & Target Area College Advancement Programming & Target Area School to NANO Program

Relative to the first subgoal, the City will work with organizations to support the United Way Literacy Coalition's 5-goal plan with a focus on adult learners to increase high school graduation or high school equivalency rates by 15% by:

- Increasing learner retention by creating a support network of adult learners by using a combination of Bridges out of Poverty initiatives and mentors;
- Marketing successful adult learners' stories to show that high school equivalency is possible and manageable;
- Working with employers to encourage learner's completion

Relative to the second subgoal, the City commits to providing support of the Community Foundation's 25/25 goal by providing support for college advancement programs, which may include:

- Assisting high school seniors to become involved in programs dedicated to making higher education accessible to low-income youth who have the desire and the will to continue their education, but who feel college is out of reach due to economic, academic and other barriers
- Assisting college students to become involved in programs linking college students to local employers and organizations interested in providing internships, apprenticeships and mentorships – all aimed at keeping the students in the area after graduation

Goal 4: Enhance Public Safety **Subgoal:** Cultural Development Programs – New Arrival Center

The City commits to supporting the Oneida County Vision 2020 initiative to establish a resource center to welcome and acclimate/consolidate services for refugees, immigrants and visitors in a one-stop location.

Goal 5: Improve Health and Wellness **Subgoals:** Access to Healthy Foods – Market Garden Truck & Access to Healthy Foods – Market Shuttles

The City commits to replicating at least 1 mobile market truck equipped with an electronic benefits transfer machine to serve each food desert area w/in the target area 1 day per week and to provide shuttles to the public markets from residential areas within the food desert areas.

3. Evaluation of past performance

This is an evaluation of past performance that helped lead the grantee to choose its goals or projects.

In the 2016 – 2017 Annual Action Plan, the City of Utica unveiled its plans to focus on the West Utica neighborhood for the remainder of Mayor Palmieri's current term. The AAP noted that the City was working to develop a plan for the area of West Utica in and around the Brewery District, in concert with the Rust2Green initiative, Cornell Cooperative Extension and capstone studio comprised largely of landscape architecture students from Cornell University. The plan was completed and is now in the process of being implemented by the various partners to the plan, including the City of Utica.

One of the major projects that was advanced during the 2016 – 2017 program year as part of that plan was a complete reconstruction of sidewalks and curbs on Sunset Avenue. Additional projects included improvements to one of the playgrounds that lie within the study area, funding for a mobile food market and support for a farmer's market for the neighborhood. Finally, funding was set aside for a

homeowner's rehabilitation program. All of these projects were allocated funds in the prior program year and all of them were in various stages of implementation by the end of the program year, in accordance with the Annual Action Plan.

Perhaps the biggest issue that the City was faced with in the 2016 – 2017 program year was the question of timeliness; the 2016 – 2017 program year was the first time that the City of Utica has had to deal with that issue in at least the last fifteen years. The issue arose due to a change in the way that HUD HQ calculated the ratio; whereas previous calculations had not included program income, HUD HQ is now calculating the ratio with the inclusion of program income. Because of a fairly large balance of program income funds in the City's revolving loan account, the City fell on the wrong side of the timeliness ratio. As a result, a conference call was held with HUD representatives in HQ as well as the Buffalo regional field office and the City of Utica. Based on the information provided by the City of Utica and the progress that had been made toward compliance with the newly-calculated ratio, entitlement funds are not being withheld from the City for the current 2017 – 2018 program year. However, the lateness with which the City anticipates receiving approval of this Plan (thereby adding slightly more than \$2 million to the City's line of credit) and the fact that the ratio is calculated at the end of January was a contributing factor in the selection of activities to which CDBG funds were allocated within this Plan.

4. Summary of Citizen Participation Process and consultation process

Summary from citizen participation section of plan.

The City of Utica's Common Council adopted a Citizen Participation Plan in 2015 which spells out the policies and procedures to which the City must adhere in the development of this Annual Action Plan for the 2017 – 2018 program year. The Plan, prepared in compliance with 24 CFR Part 91.105, encourages all citizens, particularly those in neighborhood largely comprised of low- and moderate-income residents, to participate in the development of Consolidated Plans and Annual Action Plans.

In accordance with the City's Citizen Participation Plan, the City held two public meetings. The first of the two meetings was held on Wednesday, February 8th at 6:30 PM at the Utica Neighborhood Housing Service (UNHS) Empowerment Center as part of the monthly Cornhill Neighborhood Association meeting. The second meeting was held on Wednesday, February 22 at 7:00 PM at the Westside Senior Center as part of the monthly West Utica Concerned Citizens neighborhood association meeting.

Again, in accordance with the City's Citizen Participation Plan, these meetings were advertised through the traditional media outlets by way of a legal notice, published in the City's official newspaper. Additionally, as in the previous year, these meetings were also advertised through social media, utilizing e-mail blasts to various constituencies and postings to the Mayor's Facebook page.

Additionally, the City opened a call for proposals for funding through the City's annual Community Development Block Grant. Staff of the City's Department of Urban & Economic Development made

previous applicants aware that the Request For Proposals was available at the end of January and into February and also shared it with any organization that had inquired about the potential of receiving CDBG funds during the prior program year.

5. Summary of public comments

This could be a brief narrative summary or reference an attached document from the Citizen Participation section of the Con Plan.

In accordance with the City's Citizen Participation Plan and the guidance provided by the US Department of Housing & Urban Development, a legal notice was published in the City's official newspaper, the Observer Dispatch, on Sunday, July 30th. The legal notice stated that the City had drafted its Annual Action Plan for the 2017 – 2018 program year and that the draft was now available for public review and comment. The legal notice went on to state that the Plan details the manner by which the City proposes to address the needs of low- and moderate-income persons and families, the elimination of slums and blight, job creation/retention, reduction on homelessness and development of housing through its Community Development Block Grant, HOME Investment Partnership and/or Emergency Solutions Grant programs. Additionally, the notice alerted the public to the fact that a copy of the Plan was available for review weekdays between 8:30 AM and 4:30 PM in the City's Department of Urban & Economic Development and that any comments should be address to Brian Thomas, Commissioner.

As of the time of this submission, the Department has not received any comments pertaining to the draft Plan which was available for review.

6. Summary of comments or views not accepted and the reasons for not accepting them

As indicated in the earlier section, the City did not receive any comments relative to the draft 2017 – 2018 Annual Action Plan.

7. Summary

The City of Utica continues to target its federal resourced at specific areas, including the four targeted areas that have been the focus of the current administration for the past 6 years. In addition, the West Utica neighborhood has been added in the last year.

The Community Needs Assessment also continues to play a role in how these critical federal funds are allocated on an annual basis. The Assessment was a significant effort for this community and it continues to be a driving force in activity planning and implementation.

Timeliness of expenditures also played a role in how this Annual Action Plan was shaped with City staff mindful that the additional funds included in this Plan must be expended quickly in order for the City to avoid the possibility of future CDBG allocations being affected.

PR-05 Lead & Responsible Agencies – 91.200(b)

1. Agency/entity responsible for preparing/administering the Consolidated Plan

Describe the agency/entity responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

Agency Role		Name	Department/Agency
CDBG Administrator	UTICA	Department of Urban and Economic Development	
HOME Administrator	UTICA	Department of Urban and Economic Development	
ESG Administrator	UTICA	Department of Urban and Economic Development	

Table 1 – Responsible Agencies

Narrative (optional)

Consolidated Plan Public Contact Information

City of Utica, New York

Department of Urban & Economic Development

Brian Thomas, Commissioner

Utica City Hall

1 Kennedy Plaza

Utica, New York 13502

Phone 315-792-0185

Fax 315-797-6607

E-mail bthomas@cityofutica.com

AP-10 Consultation – 91.100, 91.200(b), 91.215(I)

1. Introduction

All aspects of the Community Development Block Grant (CDBG), HOME Investment Partnership, Emergency Solutions Grant program and others, if applicable, are conducted in an open manner with freedom of access for all interested persons, groups, and/or organizations.

The City has also made efforts to include minorities and non-English speaking persons, persons with disabilities, local and regional institutions, the Mohawk Valley Housing and Homeless Coalition (the area's Continuum of Care) and other organizations (including businesses, developers, nonprofit organizations, philanthropic organizations, community and faith-based organizations) in the process of developing and implementing the Annual Plan.

Provide a concise summary of the jurisdiction's activities to enhance coordination between public and assisted housing providers and private and governmental health, mental health and service agencies (91.215(I))

The City also encourages the participation of residents of public and assisted housing developments and recipients of tenant-based assistance in the process of developing and implementing the Annual Action Plan, along with other low-income residents of targeted revitalization areas in which the developments are located. The City has provided information to the Utica Municipal Housing Authority about Annual Action Plan activities so that they can make that information available at their own annual public meetings required a part of the process of drafting the Public Housing Agency Plan.

Describe coordination with the Continuum of Care and efforts to address the needs of homeless persons (particularly chronically homeless individuals and families, families with children, veterans, and unaccompanied youth) and persons at risk of homelessness.

The City of Utica has been a key partner in the Utica, Rome, Oneida and Madison Counties Continuum of Care (CoC) since its inception in 2003. The City serves on the CoC Board which meets each quarter, and participates in the CoC Plenary meetings held eight times each year. Like most very small cities in the nation, the CoC Board and membership coordinate the CoC planning and drive project development to fill gaps in the continuum of care. The CoC and the City coordinate closely regarding regulatory compliance, monitoring and project site selection.

Describe consultation with the Continuum(s) of Care that serves the jurisdiction's area in determining how to allocate ESG funds, develop performance standards for and evaluate outcomes of projects and activities assisted by ESG funds, and develop funding, policies and procedures for the operation and administration of HMIS

The only jurisdiction in the two-county region covered by the Mohawk Valley Housing & Homeless Coalition (CoC) that receives funding through the Emergency Solutions Grant (ESG) program is the City of Utica. For the last four years, the City's Department of Urban & Economic Development has participated in and used the CoC Project Review and Ranking process (available at www.mvhomeless.org) and the CoC Ranking and Review Committee to review all ESG applications and to make ESG allocation recommendations for the City, which have always been accepted. The CoC (which includes the City) has developed performance standards for both CoC and ESG projects which are available on the CoC website and updated annually. The CoC's HMIS Administrator monitors the performance of all ESG projects. CoC-driven ESG allocation and funding decisions for the City of Utica's ESG projects are based on the performance standards and metric used to evaluate outcomes for CoC-funded projects.

2. Describe Agencies, groups, organizations and others who participated in the process and describe the jurisdiction's consultations with housing, social service agencies and other entities

Table 2 – Agencies, groups, organizations who participated

1	Agency/Group/Organization	Utica Municipal Housing Authority
	Agency/Group/Organization Type	PHA
	What section of the Plan was addressed by Consultation?	Public Housing Needs
	Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?	The staff of the Utica Municipal Housing Authority graciously provided the staff of the City's Department of Urban & Economic Development w/ a copy of their annual plan for the 2017 year to incorporate as necessary into the City's 2017 City's 2018 Annual Action Plan.
2	Agency/Group/Organization	Mohawk Valley Housing & Homeless Coalition
	Agency/Group/Organization Type	Regional organization
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Homelessness Strategy

<p>Briefly describe how the Agency/Group/Organization was consulted. What are the anticipated outcomes of the consultation or areas for improved coordination?</p>	<p>The Mohawk Valley Housing & Homeless Coalition provided input and recommendations into the manner by which the City Emergency Solutions Grant should be allocated to the various service/housing providers.</p>
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Identify any Agency Types not consulted and provide rationale for not consulting

Though the staff of the City’s Department of Urban & Economic Development make every effort to involve as many individuals, departments, agencies and organizations as possible when drafting the Consolidated Plan and the individual Annual Action Plans, it is not always possible to reach every group. With that said, there was no one individual agency type that was purposely not consulted

Other local/regional/state/federal planning efforts considered when preparing the Plan

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	Mohawk Valley Housing & Homeless Coalition	The goals of the Continuum of Care were incorporated directly into this plan.

Table 3 – Other local / regional / federal planning efforts

Narrative (optional)

AP-12 Participation – 91.105, 91.200(c)

**1. Summary of citizen participation process/Efforts made to broaden citizen participation
Summarize citizen participation process and how it impacted goal-setting**

Citizen participation during the development of this 2017 – 2018 Annual Action Plan included outreach and comments from development of the 2015 – 2019 Consolidated Plan, continued contact with agencies, organizations and other entities throughout the 2016 – 2017 program year, two public meetings held on February 8th and 21st, and a 14-day public comment period that started on July 31st and ended with the City’s submission of this Annual Action Plan on August 14th.

Citizen Participation Outreach

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
1	Newspaper Ad	Non-targeted/broad community	A total of 52 citizens attended the two public meetings that were advertised	No comments were received as a result of the advertisement itself	N/A	
2	Public Meeting	Non-targeted/broad community	25 citizens attended the first meeting on 02/08/2017, held in conjunction with the monthly Cornhill Neighborhood Association	Meeting largely attended by potential subrecipients who made their pitch to receive CDBG, HOME and/or ESG funds	N/A	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
3	Public Meeting	Non-targeted/broad community	27 citizens attended the second meeting on 02/21/2017, held in conjunction with the Mayor's budget presentation to the West Utica Concerned Citizens neighborhood association	Several questions were asked about process and previously funded activities; no comments on funding priorities for 2017	N/A	

Table 4 – Citizen Participation Outreach

Expected Resources

AP-15 Expected Resources – 91.220(c)(1,2)

Introduction

Based on the budget authorized by the Federal government and the allocation of those funds based on its formulas, the City of Utica has been notified by the United States Department of Housing & Urban Development that it is slated to receive \$2,193,917 in Community Development Block Grant funds, \$480,529 in HOME Investment Partnership funds and \$196,003 in Emergency Solutions Grant funds. Additionally, the City of Utica has estimated that it will take in \$210,000 in program income through its CDBG program; the table below summarizes those funding:

Anticipated Resources

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
CDBG	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	2,193,917	210,000	0	2,403,917	4,100,000	These resources will be used to fund activities that either result in the clearance of slum and blighting conditions or benefit low- to moderate-income persons.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Remainder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	480,529	0	0	480,529	900,000	These resources will be used to fund activities that result in the creation or betterment of affordable housing units available to low- and moderate-income persons and families.
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	196,003	0	0	196,003	400,000	These resources will be used to fund activities that either provide housing to the homeless or provide services to those currently homeless or in imminent danger of becoming homeless.

Table 5 - Expected Resources – Priority Table

Explain how federal funds will leverage those additional resources (private, state and local funds), including a description of how matching requirements will be satisfied

Given the fact that State and Federal governments are making fewer resources, including the federal entitlements, available in recent years, the City of Utica has become adept at leveraging its scarce resources for its priority projects to secure additional sources of funding. For the past several years and for the foreseeable future, State dollars have been and will be made available through Governor Cuomo's Consolidated Funding Applications (CFA) rounds. The City has utilized its federal dollars, where applicable, as a local match to secure State funding through the CFA process.

Relative to match requirements, the City of Utica anticipates receiving a 100% match reduction from HUD for its HOME program; no additional anticipated resources are required. However, applications providing leveraged funds from State, local LIHTC or private sources are given preference. In its ESG program, applicants are required to indicate how they intend to match the funds provided to them and the source of those funds. Finally, while CDBG does not have set matching requirements, the City does ask that public service agencies indicate the source and extent of matching funds against requested CDBG funds within their application. Additionally, financing from private sources or banks are required of any applicant for revolving loan funds through the City's Economic Reinvestment Program.

If appropriate, describe publically owned land or property located within the jurisdiction that may be used to address the needs identified in the plan

Not Applicable

Discussion

See above explanation

Annual Goals and Objectives

AP-20 Annual Goals and Objectives

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	HS-5 Fair Housing	2015	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing	CDBG: \$6,000	Other: 1 Other
2	SN-2 Social Services	2015	2019	Non-Homeless Special Needs	Consolidated Plan (CP) Target Area	Other Special Needs Community Development	CDBG: \$263,161	Public service activities other than Low/Moderate Income Housing Benefit: 1500 Persons Assisted
3	CD-7 Clearance	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$150,000	Buildings Demolished: 5 Buildings
4	ED-5 Rehabilitation - Commercial	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development Economic Development	CDBG: \$100,000	Facade treatment/business building rehabilitation: 6 Business
5	Section 108 Loan Repayment	2015	2019	Loan Repayment	Consolidated Plan (CP) Target Area	Administration, Planning and Management	CDBG: \$269,688	Other: 1 Other

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
6	CD-2 Infrastructure	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$100,280	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 5000 Persons Assisted
7	CD-1 Community Facilities	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$487,720	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 15000 Persons Assisted
8	ED-4 Infrastructure	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$193,068	Other: 1 Other
9	CD-6 Public Safety	2010	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$70,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 7500 Persons Assisted
10	ED-2 Financial Assistance	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$239,000	Businesses assisted: 4 Businesses Assisted
11	ED-3 Technical Assistance	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development Economic Development	CDBG: \$60,000	Other: 1 Other
12	AM 1-Overall Administration	2015	2019	Administration	Consolidated Plan (CP) Target Area	Administration, Planning and Management	CDBG: \$422,500 HOME: \$72,100	Other: 3 Other

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
13	HO-1 Operations and Support	2015	2019	Homeless	Consolidated Plan (CP) Target Area	Homelessness	HOME: \$24,700	Other: 1 Other
14	HO-2 Prevention and Rehousing	2015	2019	Homeless	Consolidated Plan (CP) Target Area	Homelessness	HOME: \$68,521	Homelessness Prevention: 250 Persons Assisted
15	HO-Housing	2015	2019	Homeless	Consolidated Plan (CP) Target Area	Homelessness	ESG: \$102,782	Homeless Person Overnight Shelter: 300 Persons Assisted
16	HS-2 Homeowner Rehabilitation	2015	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing	HOME: \$260,429	Homeowner Housing Rehabilitated: 20 Household Housing Unit
17	HS-3 Rental Housing Rehabilitation	2015	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing	HOME: \$148,000	Rental units rehabilitated: 10 Household Housing Unit

Table 6 – Goals Summary

Goal Descriptions

1	Goal Name	HS-5 Fair Housing
	Goal Description	The City will utilize CDBG funds to further Fair Housing compliance.

2	Goal Name	SN-2 Social Services
	Goal Description	The City will allocate CDBG funds to various public services, including services for youth and seniors.
3	Goal Name	CD-7 Clearance
	Goal Description	The City will allocate CDBG funds to demolition of City-owned properties.
4	Goal Name	ED-5 Rehabilitation - Commercial
	Goal Description	The City will allocate CDBG funds to a commercial facade improvement program along Genesee Street between Oriskany Boulevard and Dakin Street.
5	Goal Name	Section 108 Loan Repayment
	Goal Description	The City will allocate CDBG funding to the repayment of a Section 108 loan.
6	Goal Name	CD-2 Infrastructure
	Goal Description	The City of Utica will allocate CDBG funds to the reconstruction of City streets.
7	Goal Name	CD-1 Community Facilities
	Goal Description	The City of Utica will allocate CDBG funds to various activities that fall under this goal.
8	Goal Name	ED-4 Infrastructure
	Goal Description	The City of Utica will invest CDBG funds in the rehabilitation of 1900 Bleecker Street, a City-owned facility, that will likely lead to private ownership and development leading to the creation of jobs for low- to moderate-income persons.
9	Goal Name	CD-6 Public Safety
	Goal Description	The City of Utica will invest CDBG funds into the purchase and installation of fixed location surveillance cameras to assist the Utica Police Department.

10	Goal Name	ED-2 Financial Assistance
	Goal Description	The City of Utica will invest CDBG funds into the provision of financial assistance to for-profit businesses, tied to the creation of job opportunities for low- to moderate-income persons.
11	Goal Name	ED-3 Technical Assistance
	Goal Description	The City of Utica will invest CDBG funds to provide technical assistance in areas of the CP Target Area where predominantly low- and moderate-income persons reside.
12	Goal Name	AM 1-Overall Administration
	Goal Description	The City of Utica will allocate CDBG, HOME and ESG funds to this goal.
13	Goal Name	HO-1 Operations and Support
	Goal Description	ESG funds will be allocated for general administration and HMIS activities
14	Goal Name	HO-2 Prevention and Rehousing
	Goal Description	At least 40% o the ESG entitlement amount will be allocated to rapid rehousing activities
15	Goal Name	HO-Housing
	Goal Description	A maximum of 60% of the ESG entitlement amount will be allocated to emergency shelter and transitional housing activities.
16	Goal Name	HS-2 Homeowner Rehabilitation
	Goal Description	A portion of the HOME entitlement will be allocated to rehabilitation of homeowner occupied housing units
17	Goal Name	HS-3 Rental Housing Rehabilitation
	Goal Description	A portion of the HOME entitlement amount will be allocated to the rehabilitation of rental housing units

Projects

AP-35 Projects – 91.220(d)

Introduction

The following projects and activities have been allocated funding through either Community Development Block Grant funds, HOME Investment Partnership funds or Emergency Solutions Grant funds.

Projects

#	Project Name
1	Bleecker Street area sidewalk reconstruction
2	CDBG Target Area Street Reconstruction
3	Midtown Utica Community Center
4	Kemble Park Construction
5	Mohawk Valley Center for Refugees
6	Children's Museum Improvements
7	Central NY Community Arts Council
8	Demolition of City-owned properties
9	Senior Services
10	Youth Services
11	Other Public Service activities
12	Genesee Street Commercial Facade Program
13	Rehabilitation of 1900 Bleecker Street
14	Special Economic Development Assistance
15	Economic Reinvestment Program
16	Section 108 Loan Repayment
17	CNY Fair Housing Council
18	HOME ADMINISTRATION
19	HOUSING REHAB: Homeowner
20	HOUSING REHAB: Rental
21	Homeless activities
22	UPD Fixed Location Surveillance Solutions

Table 7 - Project Information

Describe the reasons for allocation priorities and any obstacles to addressing underserved needs

AP-38 Project Summary
Project Summary Information

1	Project Name	Bleecker Street area sidewalk reconstruction
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	CD-2 Infrastructure
	Needs Addressed	Community Development
	Funding	CDBG: \$205,000
	Description	As part of the Bleecker Street Commercial Façade Improvement Program, the City will reconstruct curbing and sidewalks on Seneca and Washington Street between Oriskany Boulevard and Columbia Street and on Columbia Street between Seneca and Washington Streets
	Target Date	12/31/2017
	Estimate the number and type of families that will benefit from the proposed activities	Slum and blight activity, as such total beneficiary data is difficult to determine
	Location Description	Washington, Seneca and Columbia Streets
	Planned Activities	Reconstruction of curbing and sidewalks
2	Project Name	CDBG Target Area Street Reconstruction
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	ED-4 Infrastructure
	Needs Addressed	Community Development
	Funding	CDBG: \$100,280
	Description	The City of Utica will reconstruct City-owned streets that are primarily residential within the CP Target Area.
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	Difficult to determine
	Location Description	Primarily residential streets within the CP Target Area
	Planned Activities	Street reconstruction
3	Project Name	Midtown Utica Community Center
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	CD-1 Community Facilities

	Needs Addressed	Community Development
	Funding	CDBG: \$15,000
	Description	Rehabilitation of 40 Faxton Street upon acquisition for enhanced youth programming
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	100 low and extremely low income
	Location Description	40 Faxton Street
	Planned Activities	Building rehabilitation
4	Project Name	Kemble Park Construction
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	CD-1 Community Facilities
	Needs Addressed	Community Development
	Funding	CDBG: \$212,720
	Description	Complete the construction of Kemble Park
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	1000 low income
	Location Description	Kemble Park in the Cornhill neighborhood
	Planned Activities	Park construction
5	Project Name	Mohawk Valley Center for Refugees
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	CD-1 Community Facilities
	Needs Addressed	Community Development
	Funding	CDBG: \$30,000
	Description	Establishment of a welcome center for all newcomers and residents
	Target Date	3/30/2018

	Estimate the number and type of families that will benefit from the proposed activities	500 low and extremely low income
	Location Description	Not yet known
	Planned Activities	Establishment of a community facility
6	Project Name	Children's Museum Improvements
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	CD-1 Community Facilities
	Needs Addressed	Community Development
	Funding	CDBG: \$10,000
	Description	This project will make improvements to a National Register-listed building.
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	600 Low income
	Location Description	Children's Museum in Bagg's Square East neighborhood
	Planned Activities	Needed improvements in order for the future of the historic building to be sustained
7	Project Name	Central NY Community Arts Council
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	CD-1 Community Facilities
	Needs Addressed	Community Development
	Funding	CDBG: \$15,000
	Description	Repair to the severely damaged roof of the Stanley Theatre, a National Register-listed building
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	

	Location Description	Stanley Theater
	Planned Activities	Needed repairs to the National Register-listed building in order to sustain its future viability
8	Project Name	Demolition of City-owned properties
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	CD-7 Clearance
	Needs Addressed	Community Development
	Funding	CDBG: \$150,000
	Description	Demolition of City-owned properties
	Target Date	12/29/2017
	Estimate the number and type of families that will benefit from the proposed activities	1500
	Location Description	
	Planned Activities	Demolition
9	Project Name	Senior Services
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	SN-2 Social Services
	Needs Addressed	Community Development
	Funding	CDBG: \$58,366
	Description	Funding to be provided through 3 different, individual activities to programming for senior citizens
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	1500 low and extremely low income
	Location Description	North Utica Senior Center and Parkway Recreation Center
	Planned Activities	Will allocate \$26,000 to North Utica Senior Center, \$26,000 to Parkway Recreation Center and \$6,366 to senior transportation
10	Project Name	Youth Services

	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	SN-2 Social Services
	Needs Addressed	Community Development
	Funding	CDBG: \$116,000
	Description	A variety of individual youth activities will be allocated funding income eligible low and moderate income families
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	1750 low and moderate income families
	Location Description	
	Planned Activities	\$15,000 to Boy's and Girl's Club; \$10,000 for OnPoint for College; \$8,000 for Central NY Community Arts Council; \$17,000 for Johnson Park Center's drop-in center; \$33,000 for Utica Safe Schools; \$33,000 for Utica College Young Scholars Program
11	Project Name	Other Public Service activities
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	SN-2 Social Services
	Needs Addressed	Community Development
	Funding	CDBG: \$88,795
	Description	Funding allocated to other CDBG-eligible public services activities for low- and moderate-income persons
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	

	Planned Activities	\$3,500 for SNAP Farmer's Market; \$27,500 for the Child Care Council of Cornell Cooperative Extension; \$70,000 for UPD Fixed Location Surveillance Solution; \$15,000 for Vision to Plant's employment center; \$3,000 for Mid-Utica Neighborhood Preservation Corp.; \$13,000 for the HomeOwnership Center for programming at the Empowerment Center; \$6,000 for the Center for Family Life and Recovery, Inc.; \$20,795 for the Rescue Mission of Utica's Skills for Success program
12	Project Name	Genesee Street Commercial Facade Program
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	ED-5 Rehabilitation - Commercial
	Needs Addressed	Economic Development
	Funding	CDBG: \$100,000
	Description	Rehabilitation of facades of commercial buildings along Genesee Street between Oriskany Boulevard and Dakin Street
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	Genesee Street between Oriskany Boulevard and Dakin Street
	Planned Activities	Commercial facade rehabilitation
13	Project Name	Rehabilitation of 1900 Bleecker Street
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	ED-5 Rehabilitation - Commercial
	Needs Addressed	Economic Development
	Funding	CDBG: \$193,068
	Description	Rehabilitation of City-owned complex at 1900 Bleecker Street which is expected to lead to private redevelopment
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	1900 Bleecker Street

	Planned Activities	Rehabilitation of publicly owned building for purposes of future economic development
14	Project Name	Special Economic Development Assistance
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	ED-3 Technical Assistance
	Needs Addressed	Economic Development
	Funding	CDBG: \$60,000
	Description	Provision of technical assistance related to economic development to primarily low- to moderate-income persons
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Providing technical assistance for economic development
15	Project Name	Economic Reinvestment Program
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	ED-2 Financial Assistance
	Needs Addressed	Economic Development
	Funding	CDBG: \$239,000
	Description	Provide revolving loan funds to for-profit businesses tied to job creation
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Fund ongoing revolving loan program
16	Project Name	Section 108 Loan Repayment
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	Section 108 Loan Repayment

	Needs Addressed	Administration, Planning and Management
	Funding	CDBG: \$269,688
	Description	Repayment of outstanding Section 108 loan balance and interest
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Repayment of outstanding Section 108 loan principal and interest
17	Project Name	CNY Fair Housing Council
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	HS-5 Fair Housing
	Needs Addressed	Housing
	Funding	CDBG: \$6,000
	Description	Contract w/CNY Fair Housing Council to provide education and enforcement relative to the Fair Housing Act for the City of Utica
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Contract w/CNY Fair Housing Council to provide education and enforcement relative to the Fair Housing Act for the City of Utica
18	Project Name	HOME ADMINISTRATION
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	AM 1-Overall Administration
	Needs Addressed	Administration, Planning and Management
	Funding	CDBG: \$465,000 HOME: \$72,100
	Description	General administration (salary and fringe) for staff of the City's Department of Urban & Economic Development as well as indirect costs

	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	\$50,000 for indirect costs based on updated Indirect Cost Report; \$415,000 for general administration
19	Project Name	HOUSING REHAB: Homeowner
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	HS-2 Homeowner Rehabilitation
	Needs Addressed	Housing
	Funding	HOME: \$260,429
	Description	Rehabilitation of homeowner-occupied housing units
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Rehabilitation of homeowner-occupied housing units
20	Project Name	HOUSING REHAB: Rental
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	HS-3 Rental Housing Rehabilitation
	Needs Addressed	Housing
	Funding	HOME: \$148,000
	Description	Rehabilitation of rental housing units
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	

	Planned Activities	Rehabilitation of rental housing units
21	Project Name	Homeless activities
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	HO-1 Operations and Support HO-2 Prevention and Rehousing HO-Housing
	Needs Addressed	Homelessness
	Funding	ESG: \$196,003
	Description	Providing programs to assist the homeless and those in imminent danger of becoming homeless; grant administration and support and emergency shelter and transitional housing for the homeless
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	Providing programs to assist the homeless and those in imminent danger of becoming homeless; grant administration and support and emergency shelter and transitional housing for the homeless
22	Project Name	UPD Fixed Location Surveillance Solutions
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	CD-6 Public Safety
	Needs Addressed	Community Development
	Funding	CDBG: \$70,000
	Description	Installation and maintenance of pole-mounted cameras to assist Utica Police Department in identification of possible crime suspects
	Target Date	3/30/2018
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	

	Planned Activities	Installation and maintenance of pole-mounted cameras to assist Utica Police Department in identification of possible crime suspects
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AP-50 Geographic Distribution – 91.220(f)

Description of the geographic areas of the entitlement (including areas of low-income and minority concentration) where assistance will be directed

The majority of the City’s allocation of federal entitlement funds during the 2017 – 2018 program year will be directed and concentrated into the Consolidated Plan (CP) Target Area. The CP Target Area encompasses portions of East Utica, Lower East Utica, Cornhill, Downtown, the Center City neighborhood and West Utica. Based on Census data, the neighborhoods with the highest concentration of both minority and low- to moderate-income residents are Cornhill and West Utica; the CP Target Area includes both of those neighborhoods.

Geographic Distribution

Target Area	Percentage of Funds
Consolidated Plan (CP) Target Area	80

Table 8 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

The City’s rationale for its focusing on the CP Target Area is based on the HUD requirement that 70% of CDBG funds be expended over a set period of time for the benefit of persons of low- to moderate-income. The City of Utica has historically utilized the option of a three-year average to reach the 70% benefit requirement and currently the three-year period includes the 2016, 2017 and 2018 program years. According to the CAPER for the last year, the percent of low/moderate-income benefit was 87.14%.

It is important to note that while the Table 4 above states that nearly 81% of the City’s CDBG entitlement for the 2017 – 2018 program year will be spent within the CP Target Area, this does not represent the low/mod benefit that is projected for the 2017 – 2018 program year. There are activities planned for the 2017 – 2018 program year that are located in the CP Target Area that are tied to the elimination of slum and blight National Objective; likewise, there are activities planned that likely lie outside the boundaries of the CP Target Area that will contribute to the low/mod benefit as a result of family income documentation and/or presumed low/mod benefit.

Discussion

Affordable Housing

AP-55 Affordable Housing – 91.220(g)

Introduction

One Year Goals for the Number of Households to be Supported	
Homeless	420
Non-Homeless	60
Special-Needs	25
Total	505

Table 9 - One Year Goals for Affordable Housing by Support Requirement

One Year Goals for the Number of Households Supported Through	
Rental Assistance	30
The Production of New Units	70
Rehab of Existing Units	20
Acquisition of Existing Units	0
Total	120

Table 10 - One Year Goals for Affordable Housing by Support Type

Discussion

AP-60 Public Housing – 91.220(h)

Introduction

Each year during the drafting of the Annual Action Plan, the City of Utica and specifically the staff of the City's Department of Urban & Economic Development consults with various agencies and organizations that provide housing, community development and social service assistance. Among those consulted is the Utica Municipal Housing Authority (UMHA). UMHA staff and management are very helpful in providing keen insight into the needs of its public housing residents and the plans of the Housing Authority to address those needs. The responses to the following questions are a direct result of the City's consultation with UMHA.

Actions planned during the next year to address the needs to public housing

In its Annual Plan submitted to HUD for the FY 2017 on October 3, 2016 (due to the timing of the City's required submission of its Annual Action Plan for the 2017 – 2018 program year, the Utica Municipal Housing Authority is currently in the process of drafting its plan for FY 2018 which is, as yet, unavailable), the Utica Municipal Housing Authority (UMHA) is proposing to accomplish the following:

1. Complete the development of the Roosevelt Residences Project;
 2. Continue to implement the "Quality of Life" and "People Come First" management philosophy and approach to ensure the highest level of resident services;
 3. Develop new revenue enhancing programs such as providing property management services;
 4. Develop laundromats at the Adrean Terrace, N.D. Peters Manor, and F.X. Matt Apartments as well as Humphrey Gardens to reduce energy costs and prevent apartment damage;
 5. Create a central mailbox facility to help residents have secure access to mail;
 6. Complete energy performance contracts including windows at Marino-Ruggiero Apartments and 819 Hamilton Street;
 7. Apply to the Public Housing Preservation Program (PHP) and other financing sources for modernization of UMHA public housing properties.
 8. Increase communication with residents through newsletters and social media;
 9. Develop a new lease and resident handbook;
 10. Create neighborhood watch groups to increase resident security;
 11. Improve resident compliance with lease and house rules through case management, eviction programs, and lease violation tracking systems;
-
1. Increase the use of translators and interpreters to facilitate communication with Limited English Proficient individuals;
-
1. Develop new rental housing developments to provide affordable housing as well as increase housing authority revenue;
 2. Implement cost saving measures to increase operational efficiency;

3. Strengthen Section 3, Community Service, and resident hiring initiatives;
4. Improve maintenance services through achieving efficiencies;
5. Develop new sources of funding through the housing authority's new non-profit corporation – Central York Community Solutions, Inc.;
6. Provide 25 Project-Based vouchers for the Roosevelt Residences Project;
7. Enter into a collaborative partnership with the Oneida Housing Authority to convert the former Sylvan Beach elementary school into an affordable housing development;
8. Explore the feasibility of purchasing affordable housing rental properties (focusing on expiring Project-Based Section 8 projects) to preserve this greatly needed housing stock;
9. Create Housing Development Fund Corporations to assist in the preservation of affordable housing projects;

Use its statutory authority to serve as a bonding issuer to develop affordable housing and other projects to benefit the community.

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

As part of its process of drafting the FY 2017 Annual Plan, the Utica Municipal Housing Authority (UMHA) held meetings with its Resident Advisory Board. At those meetings, UMHA staff explained to the residents the purpose of the Annual, the process by which it is drafted each year and the role that residents play in the drafting of that Plan.

Relative to residents becoming more involved in management, meeting participants expressed the need for tenants and management to work together in a collaborative fashion to address mutual issues such as lease enforcement and crime prevention. Based upon Annual Plan meetings with residents, the UMHA will explore the feasibility of the implementation of the following resident engagement activities:

- Monthly Resident Association Meetings,
- Resident led events to celebrate neighborhoods, diversity, and safety,
- AMP resident newsletters,
- Social and recreational events to build neighborhood cohesion,
- Increasing the use of translators and interpreters to facilitate communication with Limited English Proficient individuals.

Relative to homeownership, the FY 2017 Annual Plan drafted by the UMHA and submitted to HUD provides that future homeownership development programs to be undertaken by UMHA may include: 1) Developing a homeownership production program; and 2) Implementing a homeownership counseling program for public housing and community residents to include an individual development

account program. Market studies and feasibility analyses will be conducted prior to the implementation of any homeownership housing program to ensure that it is a financially viable activity. The UMHA will seek to incorporate homeownership and mixed income approaches into its affordable housing rental production program. However, the priority of the housing authority will be the production of new affordable rental units.

If the PHA is designated as troubled, describe the manner in which financial assistance will be provided or other assistance

According to the Form HUD-50075-ST submitted to HUD by the Utica Municipal Housing Authority as part of its Annual Plan submission for FY 2017, the UMHA is designated as a *Standard PHA* and not a Troubled PHA. As such, this question is not applicable.

Discussion

AP-65 Homeless and Other Special Needs Activities – 91.220(i)

Introduction

Describe the jurisdictions one-year goals and actions for reducing and ending homelessness including

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

Our primary outreach program is the Rapid Engagement Homeless Assistance Team (REHAT) program funded by Oneida County Mental Health Department. REHAT features a team of four homeless outreach workers who will go anywhere there are reports of unsheltered homeless persons. While there are no homeless camps or fixed outdoor areas where the homeless congregate on an on-going basis, we make extensive efforts to locate any temporary clusters of homeless persons in vacant urban buildings or in city or rural outdoor locations. In general, our CoC relationship and communication network is strong- and information on people living in unsheltered situations is reported by CoC partner agency staff to outreach agencies or to the CoC Chair who provides outreach coordination for all unsheltered locations. CoC partner agencies also provide outreach at the City's largest soup kitchens including Hope House our east side and the West Side Kitchen in West Utica

Addressing the emergency shelter and transitional housing needs of homeless persons

Our primary outreach program is the Rapid Engagement Homeless Assistance Team (REHAT) program funded by Oneida County Mental Health Department. REHAT features a team of four homeless outreach workers who will go anywhere there are reports of unsheltered homeless persons. While there are no homeless camps or fixed outdoor areas where the homeless congregate on an on-going basis, we make extensive efforts to locate any temporary clusters of homeless persons in vacant urban buildings or in city or rural outdoor locations. In general, our CoC relationship and communication network is strong- and information on people living in unsheltered situations is reported by CoC partner agency staff to outreach agencies or to the CoC Chair who provides outreach coordination for all unsheltered locations. CoC partner agencies also provide outreach at the City's largest soup kitchens including Hope House our east side and the West Side Kitchen in West Utica.

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

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: 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); or, receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs.

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).

Discussion

AP-75 Barriers to affordable housing – 91.220(j)

Introduction:

As the HUD webpage (https://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/affordablehousing) states, housing cost burdened families are defined as those who pay more than 30 percent of their income for housing. Such families then have difficulty with being able to afford other necessities such as food, clothing, transportation and medical care.

While the Utica/Rome region has been cited for its affordability in various areas including housing, the cost of housing continues to be a struggle for many of Utica's citizens, particularly those at the lower end of household income scales. Based on data from the 2015 American Community Survey (ACS), nearly 70% of the households that pay rent for their homes had a household income of less than \$35,000. Of those households, 51% are considered to be housing cost burdened.

Homeowners in the same income bracket represent a smaller portion of the total pool of households in the City of Utica; almost exactly one-third of all homeowners in the City of Utica have a total household income of less than \$35,000. Of those homeowners, however, almost 19% are considered to be housing cost burdened.

It is for these residents, particularly those who are renting, that attention must be paid to conditions that effectively become barriers to affordable housing.

Actions it planned 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

In order to address possible land use controls and zoning ordinance regulations within the City of Utica that may have negative effects on the development of affordable housing, the City has begun the process of overhauling its zoning ordinance. Through the New York State Energy Research and Development Authority's (NYSERDA) Cleaner, Greener Communities Program, the City was able to secure a grant of just over \$168,000 for the effort. The intent is to modernize the entire zoning ordinance as the last time that the City undertook such an effort was in 1992, twenty-five years ago. Additionally, the City's goal is to make the ordinance much more user-friendly, particularly for our foreign born population which comprise 25% of the City's total residents. To that end, the revised zoning ordinance will feature substantially more graphics to make it more understandable by people for whom English is not their native language.

Finally, one of the biggest goals of the effort is to make sure the ordinance is in conformance with the City's master plan. From an urban planning perspective, a zoning ordinance is one of the primary tools

available to a community by which the master plan is implemented. With the Common Council adoption of the latest master plan in October 2011 (the first since 1950), the time was ripe to overhaul the zoning ordinance as well.

Having been awarded the funding through the State's Consolidated Funding Application (CFA) system in December 2015, the City spent much of 2016 drafting a Request For Proposals, advertising the RFP, reviewing proposals and selecting a consultant team to assist the City through the zoning revision process. Work has begun through the first half of 2017 with much of the work completed within the 2017 – 2018 program year.

Beyond the overhaul of its zoning ordinance, the Utica Industrial Development Agency (UIDA) continues to evaluate possible amendments to its Uniform Tax Exempt Policy which would streamline the process for affordable housing projects that are seeking Payment In Lieu Of Taxes (PILOT) agreements; projects that are awarded federal Low Income Housing Tax Credits generally seek PILOT agreements with the municipality to both improve the financial pro-forma of the project as well as to show local commitment to the project.

Currently, affordable housing projects that are seeking a PILOT agreement either must go through the Common Council, which has taken a dim view of PILOT projects for any type of project (including economic development projects that create jobs), or be considered by the UIDA as a deviation from their normal policy.

Discussion:

AP-85 Other Actions – 91.220(k)

Introduction:

In addition to the activities that have been proposed for funding with Community Development Block Grant funds, HOME Investment Partnership funds or Emergency Solutions Grant funds in the 2017 – 2018 program year, the City of Utica plans to undertake the following activities as well, in furtherance of compliance with federal rules and regulations governing each of the aforementioned entitlement programs.

Actions planned to address obstacles to meeting underserved needs

In the 2017 – 2018 program year, the City of Utica is proposing to expend over \$340,000 in Community Development Block Grant funds for public services. Given the level of funding combined with the anticipated amount of program income, this figure represents 14.17% of the City's CDBG budget, just under the maximum 15% permitted under the federal regulations of the CDBG program.

Within that budget, \$46,366 is budgeted for services for senior citizens while \$116,000 is budgeted for public services for youth of income-eligible families and households. The remaining \$178,295 is spread over a variety of public service categories, including child care services, crime awareness/prevention and employment training.

The allocation of \$88,000 for crime awareness/prevention is a new use of Community Development Block Grant funds for the City of Utica. With these funds, the City of Utica Police Department will purchase, install and maintain up to eight (8) pole cameras in high crime areas of the CDBG Target Area. In recent years, while the homicide rate in the City has dropped considerably, shootings in the public realm continue to vex the Police Department. Such crimes have proven difficult to resolve as the victims refuse to provide information to the Department critical to prosecuting the perpetrators; the Department believes that victims withhold such information so that they are able to take matters into their own hands, literally, at a later time. Only when such shootings are captured by a camera, whether owned and maintained by a government entity or a private commercial business, have the perpetrators of such shootings been brought to justice. Given that phenomenon, the City is proposing to add to the number of publicly owned and operated cameras in those areas that have been most affected by this crime recently. The cameras will be mounted on poles within public areas (i.e., streets, intersections, etc.).

Actions planned to foster and maintain affordable housing

The 2017 – 2018 program year will be a watershed year in the City of Utica relative to affordable housing as numerous projects, representing dozens of new, affordable units, are scheduled to be complete and come on-line during this program year. Projects that are currently under construction include: the rehabilitation of the former Jeffrey Hardware building (\$9 million project that will create 49 affordable apartment units) and the construction of the West Street project by the Rescue Mission (\$13 million project that will create 42 affordable apartment units. Additionally, the Roosevelt Residences project (\$13 million project that will create 50 affordable flat and townhouse units) has all of its finances in place and ground is expected to be broken this Fall with completion slated for June 2020.

Additionally, though the developer was not successful in being awarded the planned financing this past year, the Globe Mill project in West Utica continues to be a viable project. The City continues to work with the developer on alternative sources of financing for the project, which is estimated at \$33 million to create over 130 units of mixed-income housing (though the bulk of those units will be affordable in nature). The City also continues to work with DePaul Properties of Rochester to develop additional affordable housing. In the latest round of Low Income Housing Tax Credits, DePaul had submitted a request for a 9% allocation; however, they were not successful in that effort. DePaul is now in the process of revising their application and intends to seek an allocation under the 4% limit. The proposed development involves new construction at the eastern end of Broad Street which has the City's support, the neighborhood's support and received preliminary approval from the City's Planning Board.

Actions planned to reduce lead-based paint hazards

The City of Utica continues to be an active and participating member of the Lead-Free MV coalition, established by The Community Foundation of Herkimer & Oneida Counties, Inc. According to the coalition's web page (<http://foundationhoc.org/lead-free-mv/>), the coalition will focus on the elimination of lead hazards in pre-1978 housing, as well as expanding testing and community awareness of the problem. The coalition's efforts will range from direct outreach and education to strengthening legislation related to property maintenance. Coalition members represent public health, local government (including the City of Utica), legal, insurance, healthcare, education, child care, construction and support service constituencies.

Earlier this year, The Community Foundation of Herkimer & Oneida Counties, Inc. joined with the City of Utica to submit an application for grant funding under HUD's Lead Hazard Control program. The Community Foundation pledged \$300,000 as the local match for the application, as it has for the past several years. Though the City's application was deemed ineligible (due to what the City argued unsuccessfully was a misunderstanding on the part of the federal reviewers), the commitment to leveraging limited local funding to secure larger sources of State and Federal funds to fight this significant health and childhood development concern remains. It is highly likely that the City will partner with The Community Foundation again for the next grant round in early 2018.

Actions planned to reduce the number of poverty-level families

The City of Utica continues to work with \$1.5 million in funding made available by Governor Cuomo as part of his Empire State Poverty Reduction Initiative (ESPRI). The City has designated the local branch of the United Way as its contracting partner with the State's Office of Temporary and Disability Assistance. As such, all staffing, contracting and administrative responsibilities relative to the \$1.5 million grant falls to the United Way, rather than the City of Utica. However, City staff are heavily involved in the planning process that has occurred to date, including the Mayor and the Commissioner of Urban & Economic Development.

To date, twelve focus group meetings have been held which involved 280 participants along with one-on-one surveys conducted with 195 individuals with additional outreach planned in the next few weeks. A town hall-style meeting is planned for late September or early October 2017 at which time the findings of the public outreach effort will be revealed and discussed in greater detail. The purpose of the outreach was to determine those impediments or hurdles that most significantly keep the residents of the City of Utica from climbing out of poverty and to consider various measures or programs that can be developed with the State's \$1.5 million to eliminate those impediments. From that town hall-style meeting, a report will be developed and submitted to the State for approval at which time the City will begin to use that \$1.5 million to implement the priority projects that are identified.

Actions planned to develop institutional structure

At the beginning of the 2017 – 2018 program year, the Department of Urban & Economic Development lost another key member of the staff. Caroline Williams, an employee of Cornell Cooperative Extension (CCE) who had contracted with the City to administer and oversee the administration of the City's HOME Program, left her employment with CCE for a position with The Community Foundation of Herkimer and Oneida Counties, Inc. The City is taking this loss, however, as an opportunity to bring this position back in-house by creating a permanent, full-time position of Housing Development Specialist within the Department. Among the responsibilities of the person that will be hired to fill that position is oversight of the HOME Program. The position will be advertised in August 2017 and it is hoped that a person will be hired and start work by late September 2017. Once hired, the City and the Department will spare no expense in ensuring that the person that is hired is fully trained in all aspects of the HOME Program and its administration.

Actions planned to enhance coordination between public and private housing and social service agencies

To maintain coordination between public and private housing and social service agencies, the City will continue to maintain a strong presence on the County's Continuum of Care which involves numerous housing (public and private) agencies and social service agencies.

Additionally, the City's continued involvement with the Lead Free MV initiative of The Community Foundation of Herkimer and Oneida Counties as well as the Greater Utica Anti-Poverty Initiative will

enhance coordination with other member agencies, including those in the social services.

Discussion:

Program Specific Requirements

AP-90 Program Specific Requirements – 91.220(I)(1,2,4)

Introduction:

Community Development Block Grant Program (CDBG) Reference 24 CFR 91.220(I)(1)

Projects planned with all CDBG funds expected to be available during the year are identified in the Projects Table. The following identifies program income that is available for use that is included in projects to be carried out.

1. The total amount of program income that will have been received before the start of the next program year and that has not yet been reprogrammed	0
2. The amount of proceeds from section 108 loan guarantees that will be used during the year to address the priority needs and specific objectives identified in the grantee's strategic plan.	0
3. The amount of surplus funds from urban renewal settlements	0
4. The amount of any grant funds returned to the line of credit for which the planned use has not been included in a prior statement or plan	0
5. The amount of income from float-funded activities	0
Total Program Income:	0

Other CDBG Requirements

1. The amount of urgent need activities	0
2. The estimated percentage of CDBG funds that will be used for activities that benefit persons of low and moderate income. Overall Benefit - A consecutive period of one, two or three years may be used to determine that a minimum overall benefit of 70% of CDBG funds is used to benefit persons of low and moderate income. Specify the years covered that include this Annual Action Plan.	76.55%

HOME Investment Partnership Program (HOME) Reference 24 CFR 91.220(I)(2)

1. A description of other forms of investment being used beyond those identified in Section 92.205 is as follows:

Beyond the funds associated with the HUD Federal Formula Grants described in Section 92.205, there are several other sources of investment being used to develop affordable housing within the

City of Utica. The most significant source of funds that we see developers seeking HOME funds are equity derived from Low Income Housing Tax Credit Program, both 9% LIHTC and 4% LIHTC. Additionally, New York State Affordable Housing Corporation Funds are frequently used alongside HOME funds, especially for homeowner occupied rehabilitation projects, and are additionally beneficial because they allow for assistances to low to moderate income persons up to 120% of the Area Median Income. Additionally, Johnson Park Center has used HOME funds in coordination with Homeless Housing Assistance Program funds to develop permanent housing for the chronically homeless. Furthermore, the City is beginning to see developers wishing to use funds from the NYS Office of Mental Health and Office for Persons with Disabilities for the development of mixed-use housing projects that are part supportive and part affordable. Lastly, while not qualifying as match, we also see a significant amount of owner investment within the affordable housing projects that are developed - especially projects that are smaller in nature (under 40 units) and aim to develop mixed-income housing.

2. A description of the guidelines that will be used for resale or recapture of HOME funds when used for homebuyer activities as required in 92.254, is as follows:

The City of Utica uses the City's Resale/Recapture policy for all activities in which 92.254 is applicable. The policy focuses on resale for projects. Utica's resale policy requires that when a property is sold, the subsequent buyers must be low to moderate income (<80% of the area median income); and the property must be sold at a price that is affordable to the new buyer while providing a fair return, not a market return, to the seller (initial investment + reasonable improvements).

3. A description of the guidelines for resale or recapture that ensures the affordability of units acquired with HOME funds? See 24 CFR 92.254(a)(4) are as follows:

Resale price restrictions are implemented by the City of Utica or a qualified nonprofit subrecipient or CHDO retaining a pre-emptive right, or right of first refusal, to either purchase the home or find another income-eligible buyer to purchase the home from the existing owner for the entirety of the affordability period. The effectiveness of that preemptive right depends on the continued ability of the subrecipient, CHDO or City to exercise said right, which is why it must be expressly stated in the restrictive covenants and mortgage documents.

4. Plans for using HOME funds to refinance existing debt secured by multifamily housing that is rehabilitated with HOME funds along with a description of the refinancing guidelines required that will be used under 24 CFR 92.206(b), are as follows:

The City of Utica has no plans for using HOME funds to refinance existing debt secured by multifamily housing rehabilitated with HOME funds.

Emergency Solutions Grant (ESG) Reference 91.220(l)(4)

1. Include written standards for providing ESG assistance (may include as attachment)

The CoC's written standards for ESG Rapid Rehousing assistance are attached.

2. If the Continuum of Care has established centralized or coordinated assessment system that meets HUD requirements, describe that centralized or coordinated assessment system.

The Continuum's coordinated assessment and entry process has the following key components to ensure that homeless families and individuals are identified, engaged and assisted with connecting to the proper housing and services. 1) Utica and the CoC region now has a 2-1-1 system. 2) All homeless persons engaged by or entering CoC and ESG programs are screened for military service status, indications of domestic violence, and for addiction and mental health problems and referred to the appropriate primary CoC program and/or community service to meet their specific housing and support service needs. 3) CoC ESG Programs follow HUD rules for program eligibility and prioritization by severity of need is managed within this framework. The CoC Coordinated Entry and Assessment Committee is in the process of completing work for a CEA system using SPDAT screening and assessment tools.

3. Identify the process for making sub-awards and describe how the ESG allocation available to private nonprofit organizations (including community and faith-based organizations).

Since 2015, the City of Utica works with four members of the Continuum in order to rank and review all ESG applications. Each of the members independently ranks and reviews applications before meeting to discuss and compare applications and scores. Members involved are Steve Darman - MV Housing and homeless Coalition, Chris Lawrence - City of Utica, Chip Basset - Oneida County, Betty-Joan Beaudry - United Way of the Valley and Greater Utica. All planning meetings and decisions fully involved the CoC Chair and final funding decisions are made by the CoC Steering Committee board which includes the City of Utica.

4. If the jurisdiction is unable to meet the homeless participation requirement in 24 CFR

576.405(a), the jurisdiction must specify its plan for reaching out to and consulting with homeless or formerly homeless individuals in considering policies and funding decisions regarding facilities and services funded under ESG.

The Continuum of Care which has decision making responsibility for both CoC and ESG programs meets the HUD homeless participation requirement.

5. Describe performance standards for evaluating ESG.

Guiding Principles for Setting Priorities and Selecting and Ranking Homeless Assistance Projects

Our CoC is guided by principles developed and promoted by HUD and shaped by our local understanding of how to best prevent and end homelessness in our region of Central Upstate New York. We practice what we believe in, and we believe in:

- Engaging and involving a wide, representative cross section of our community, including currently and formerly homeless persons, in homeless needs assessment, program planning, public education and advocacy, and funding decisions.
- Using current research on the most effective long-term solutions to homelessness including the Federal Strategic Plan to Prevent and End Homelessness (*Opening Doors* available from the US Interagency Council on Homelessness at http://usich.gov/index.php/opening_doors/) and reflected in HUD's annual Notice of Funding Availability for homeless assistance programs.
- Prioritizing our most vulnerable populations for homeless assistance services when funds are limited and promoting racial and gender justice by ensuring that our programs and services are available to and effectively serving all people, regardless of race, gender, and sexual orientation.
- The importance of designing and supporting a homeless assistance continuum of care that includes housing and support services that effectively address all populations experiencing homelessness in our area.
- The reality that many homeless persons and families need more than a housing unit to achieve long term housing stability. A wide range of support services (employment readiness, health care, life skill training, benefits counseling and advocacy, transportation, child care support, etc.) tailored to the individual needs of homeless persons and families is critical for ending homelessness and preventing future homeless episodes.

CoC NY-518 Evaluation and Ranking of Homeless Assistance Project Applications:

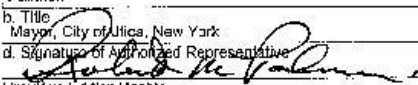
The CoC's evaluation of CoC and ESG Project Proposals is based on a combination of HUD project applicant and project quality, and project priority measures and our local CoC Applicant and project

quality measures in addition to an assessment of prior project performance in multiple domains.

Project performance is assessed by the CoC's Performance Management and Ranking Committee using a point system as outlined below. Renewal projects with a higher point total will be ranked higher than projects with a lower point total.

Attachments

Grantee SF-424's and Certification(s)

APPLICATION FOR FEDERAL ASSISTANCE		OMB Approved No. 2506-0005		Version 7/03																						
1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		2. DATE SUBMITTED August 1, 2017		Applicant Identifier E-17-MC-SE0110																						
<input type="checkbox"/> Pre-application <input checked="" type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE		State Application Identifier																						
5. APPLICANT INFORMATION Legal Name: City of Utica, New York Organizational DUNS: 010 758 959 Address: Street: Utica City Hall 1 Kennedy Plaza City: Utica County: Oneida State: NY Zip Code: 13502 Country: Utica States		4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier																						
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 15-0800118		7. TYPE OF APPLICANT: (See back of form for Application Types) Municipality Other (specify)		8. NAME OF FEDERAL AGENCY: US Dep. of Housing & Urban Development																						
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify)		Phone Number (give area code) 315-792-0181		Fax Number (give area code) 315-797-6607																						
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE (Name of Program): Community Development Block Grant 12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): Utica, New York in Oneida County		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: City of Utica, New York, Community Development Block Grant Annual Plan		9. NAME OF FEDERAL AGENCY: US Dep. of Housing & Urban Development																						
13. PROPOSED PROJECT Start Date: 04/01/17 Ending Date: 03/31/18		14. CONGRESSIONAL DISTRICTS OF: a. Applicant 24 b. Project 24		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. Yes <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE: b. No <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW																						
15. ESTIMATED FUNDING: <table border="1"> <tr> <td>a. Federal</td> <td>\$</td> <td>2,193,917</td> </tr> <tr> <td>b. Applicant</td> <td>\$</td> <td></td> </tr> <tr> <td>c. State</td> <td>\$</td> <td></td> </tr> <tr> <td>d. Local</td> <td>\$</td> <td></td> </tr> <tr> <td>e. Other</td> <td>\$</td> <td></td> </tr> <tr> <td>f. Program Income</td> <td>\$</td> <td>210,000</td> </tr> <tr> <td>g. TOTAL</td> <td>\$</td> <td>2,403,917</td> </tr> </table>		a. Federal	\$	2,193,917	b. Applicant	\$		c. State	\$		d. Local	\$		e. Other	\$		f. Program Income	\$	210,000	g. TOTAL	\$	2,403,917	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes" attach an explanation. <input checked="" type="checkbox"/> No		18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED. a. Authorized Representative Prefix: Mr. First Name: Robert Middle Name: M. Last Name: Palmieri Suffix: b. Title: Mayor, City of Utica, New York c. Telephone Number (give area code): 315-792-0100 d. Signature of Authorized Representative:  e. Date Signed: 08/01/17	
a. Federal	\$	2,193,917																								
b. Applicant	\$																									
c. State	\$																									
d. Local	\$																									
e. Other	\$																									
f. Program Income	\$	210,000																								
g. TOTAL	\$	2,403,917																								

APPLICATION FOR FEDERAL ASSISTANCE

OMB Approved No. 3076-0005

Version 7/03

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Pre-application <input type="checkbox"/>		2. DATE SUBMITTED August 1, 2017	Applicant Identifier E-17-MC-38-0010
<input type="checkbox"/> Construction <input type="checkbox"/> Construction		3. DATE RECEIVED BY STATE	State Application Identifier
<input checked="" type="checkbox"/> Non-Construction <input checked="" type="checkbox"/> Non-Construction		4. DATE RECEIVED BY FEDERAL AGENCY Federal Identifier	
5. APPLICANT INFORMATION			
Legal Name: City of Utica, New York		Organizational Unit: Department: Department of Urban and Economic Development Division:	
Organizational DUNS: 010759550		Name and telephone number of person to be contacted on matters involving this application (give area code)	
Address: Street: Utica City Hall 1 Kennedy Plaza City: Utica County: Oneida		Prefix: Mr. First Name: Brian Middle Name:	
State: NY Zip Code: 13502		Last Name: Thomas	
Country: Utica States		Suffix: AICP Email: bthomas@cityofutica.com	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 15-600478		Phone Number (give area code): 315-782-0181 Fax Number (give area code): 315-787-6607	
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify) <input type="checkbox"/> <input type="checkbox"/>		7. TYPE OF APPLICANT: (See back of form for Application Types) Municipality Other (specify):	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE (Name of Program): Emergency Solutions Grant 14-218		9. NAME OF FEDERAL AGENCY: US Dept. of Housing & Urban Development	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): Utica, New York in Oneida County		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: City of Utica, New York, Community Development Block Grant Annual Plan	
13. PROPOSED PROJECT Start Date: 04/01/17 Ending Date: 03/31/18		14. CONGRESSIONAL DISTRICTS OF: a. Applicant 24 b. Project 24	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal \$ 196,000.00	b. Applicant \$	a. Yes <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE:	
c. State \$	d. Local \$	b. No <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372	
e. Other \$	f. Program Income \$	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
g. TOTAL \$ 196,000.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes" attach an explanation <input checked="" type="checkbox"/> No		
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a. Authorized Representative			
Prefix: Mr.	First Name: Robert	Middle Name: M.	
Last Name: Pamieri	Suffix:		
b. Title: Mayor, City of Utica, New York		c. Telephone Number (give area code): 315-782-0100	
d. Signature of Authorized Representative: 		e. Date Signed: 08/01/17	
Previous Edition Usable Authorized for Local Reproduction			

Standard Form 424 (Rev. 9-2003)
Prescribed by OMB Circular A-102

APPLICATION FOR FEDERAL ASSISTANCE

OMB Approved No. 1578-0016

Version 7/03

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		2. DATE SUBMITTED August 1, 2017	3. DATE RECEIVED BY STATE	Applicant Identifier M-17-MIC-36-0506 State Application Identifier																												
5. APPLICANT INFORMATION Legal Name: City of Utica, New York Organizational DUNS: 010 758 958		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier																													
Address: Street: Utica City Hall 1 Kennedy Plaza City: Utica County: Oneida State: NY Zip Code: 13502		Organizational Unit Department: Department of Urban and Economic Development Division:																														
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Country: Utica States		Suffix: AICP Email: bthomas@cityofutica.com																														
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10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE (Name of Program): HOME Investment Partnership Program 12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): Utica, New York in Oneida County		9. NAME OF FEDERAL AGENCY: US Dept. of Housing & Urban Development 11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: City of Utica, New York, Community Development Block Grant Annual Plan																														
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Prefix: Mr. First Name: Robert Last Name: Palmieri		Middle Name: M. Suffix:																														
Title: Mayor, City of Utica, New York		c. Telephone Number (give area code): 315-732-0180																														
d. Signature of Authorized Representative		e. Date Signed: 10/01/17																														

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 Prescribed by OMD Circular A-102

CERTIFICATIONS

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

Affirmatively Further Fair Housing --The jurisdiction will affirmatively further fair housing.

Uniform Relocation Act and Anti-displacement and Relocation Plan -- It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, (42 U.S.C. 4601-4655) and implementing regulations at 49 CFR Part 24. It has in effect and is following a residential anti-displacement and relocation assistance plan required under 24 CFR Part 42 in connection with any activity assisted with funding under the Community Development Block Grant or HOME programs.

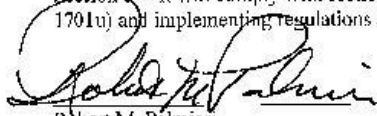
Anti-Lobbying --To the best of the jurisdiction's knowledge and belief:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-111, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
3. It will require that the language of paragraph 1 and 2 of this anti-lobbying certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

Consistency with plan --The housing activities to be undertaken with Community Development Block Grant, HOME, Emergency Solutions Grant, and Housing Opportunities for Persons With AIDS funds are consistent with the strategic plan in the jurisdiction's consolidated plan.

Section 3 -- It will comply with section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u) and implementing regulations at 24 CFR Part 135.


Robert M. Palmieri

August 1, 2017
Date

Mayor, City of Utica
Title

Specific Community Development Block Grant Certifications

The Entitlement Community certifies that:

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

Community Development Plan -- Its consolidated plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that have been developed in accordance with the primary objective of the CDBG program (i.e., the development of viable urban communities, by providing decent housing and expanding economic opportunities, primarily for persons of low and moderate income) and requirements of 24 CFR Parts 91 and 570.

Following a Plan -- It is following a current consolidated plan that has been approved by ITUD.

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

1. Maximum Feasible Priority. With respect to activities expected to be assisted with CDBG funds, it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low- and moderate-income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include CDBG-assisted activities which the grantee certifies are designed to meet other community development needs having particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available (see Optional CDBG Certification).

2. Overall Benefit. The aggregate use of CDBG funds, including Section 108 guaranteed loans, during program year(s) 2016, 2017 & 2018 [a period specified by the grantee of one, two, or three specific consecutive program years], shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period.

3. Special Assessments. It will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108 loan guaranteed funds, by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

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

In addition, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

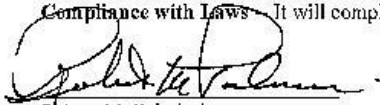
Excessive Force -- It has adopted and is enforcing:

1. A policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in non-violent civil rights demonstrations; and
2. A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction.

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

Lead-Based Paint -- Its activities concerning lead-based paint will comply with the requirements of 24 CFR Part 35, Subparts A, B, J, K and R.

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



Robert M. Palmieri

August 1, 2017
Date

Mayor, City of Utica
Title

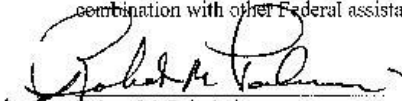
Specific HOME Certifications

The HOME participating jurisdiction certifies that:

Tenant Based Rental Assistance -- If it plans to provide tenant-based rental assistance, the tenant-based rental assistance is an essential element of its consolidated plan.

Eligible Activities and Costs -- It is using and will use HOME funds for eligible activities and costs, as described in 24 CFR §§92.205 through 92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in §92.214.

Subsidy layering -- Before committing any funds to a project, it will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing;



Robert M. Paluicri

August 1, 2017
Date

Mayor, City of Utica
Title

Emergency Solutions Grants Certifications

The Emergency Solutions Grants Program recipient certifies that:

Major rehabilitation/conversion/renovation – If an emergency shelter's rehabilitation costs exceed 75 percent of the value of the building before rehabilitation, the recipient will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed rehabilitation.

If the cost to convert a building into an emergency shelter exceeds 75 percent of the value of the building after conversion, the recipient will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed conversion.

In all other cases where ESG funds are used for renovation, the recipient will maintain the building as a shelter for homeless individuals and families for a minimum of 3 years after the date the building is first occupied by a homeless individual or family after the completed renovation.

Essential Services and Operating Costs – In the case of assistance involving shelter operations or essential services related to street outreach or emergency shelter, the recipient will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure, so long the recipient serves the same type of persons (e.g., families with children, unaccompanied youth, disabled individuals, or victims of domestic violence) or persons in the same geographic area.

Renovation – Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

Supportive Services – The recipient will assist homeless individuals in obtaining permanent housing, appropriate supportive services (including medical and mental health treatment, victim services, counseling, supervision, and other services essential for achieving independent living), and other Federal, State, local, and private assistance available for these individuals.

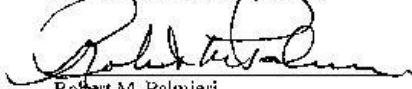
Matching Funds – The recipient will obtain matching amounts required under 24 CFR 576.201.

Confidentiality – The recipient has established and is implementing procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project, except with the written authorization of the person responsible for the operation of that shelter.

Homeless Persons Involvement – To the maximum extent practicable, the recipient will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under the ESG program, in providing services assisted under the ESG program, and in providing services for occupants of facilities assisted under the program.

Consolidated Plan – All activities the recipient undertakes with assistance under ESG are consistent with its consolidated plan.

Discharge Policy – The recipient will establish and implement, to the maximum extent practicable and where appropriate, policies and protocols for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, mental health facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent this discharge from immediately resulting in homelessness for these persons.



Robert M. Palmieri

August 1, 2017
Date

Mayor, City of Utica
Title

APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING CERTIFICATION:

Lobbying Certification

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.