

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

# City of Utica, New York

# 2018 – 2019

# Annual Action Plan

June 30, 2018



## Executive Summary

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

#### 1. Introduction

This year's City of Utica 2018-2019 Annual Action Plan places a huge emphasis on infrastructure and other assorted physical building improvements throughout the low and moderate-income areas of the City, those included in the CDBG Target Area. Nearly \$1 million of the City's \$2.447 million CDBG entitlement is allocated toward Public Facilities and Improvements. Another \$216,769 is allocated to demolition of blighting structures and \$175,000 allocated to the completion of a commercial façade improvement on Genesee Street and the installation of replacement windows in the gym of a downtown neighborhood center.

A significant portion (\$500,000) of the \$1 million in Public Facilities and Improvements is slated for the reconstruction of principally residential streets in low- to moderate-income neighborhoods. This is an activity to which the City has traditionally and historically allocated CDBG funds, though the proposed 2018-2019 allocation is a substantial increase over the \$100,000 allocated in the 2017-2018, largely in part due to a referendum approved by City voters in 2016 that required an increase in spending on street paving from the previous minimum of \$2 million to \$5 million.

A similarly significant portion of the \$1 million in Public Facilities and Improvements is slated for the construction of a sidewalk on the eastern side of Culver Avenue. The sidewalk will greatly enhance access to the F.T. and T.R. Proctor Parks, two of the largest parks in the City's open space system. Culver Avenue, a busy thoroughfare that runs north – south on the eastern side of the City, was repaved last year. As such, the proposed construction of the sidewalk is as much an effort under the City's recently-adopted Complete Streets policy as it is an activity that focuses on the elimination of architectural barriers for the parks.

As noted above, this year's Annual Action Plan also allocates just over \$200,000 for demolition. In this year, the City is focused on the demolition of the building located at 1532 Erie Street in the City's West Utica neighborhood. The building is a sprawling 68,000 square foot industrial building that is over 100 years old. Located on a 4.3-acre site that the City recently acquired through tax foreclosure, the condition of the building is such that the property is more valuable without the building. Situated between Erie Street and Oriskany Boulevard, the property is highly visible on a stretch of State highway that averages roughly 20,000 vehicles per day.

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.

As was touched upon in the Executive Summary, one of the primary objectives of the City of Utica's 2018 – 2019 Annual Action Plan was to focus a significant effort on the improvement of public facilities, including primarily streets and sidewalks within low- to moderate-income residential neighborhoods. Nearly 35% of the City's annual CDBG entitlement was allocated to the improvements of streets and/or sidewalks.

The provision of public services continues to be a primary objective of the City's Annual Action Plan. A variety of services for senior citizens, youth from income-eligible families and other that fall within the low- to moderate-income category are funded with just over \$300,000 in CDBG funds. This amounts to just over 11% of the City's entitlement, sufficiently under HUD's 15% cap.

For the next two years, another focus of the City's CDBG dollars is the repayment of the Section 108 loan for the Hotel Utica. While the activity itself has been closed out and ultimately fulfilled the job creation goals for which the funds were lent, the City continues to repay the loan as the original operators who secured the loan are no longer part of the operation. The Hotel recently was purchased and a significant amount of private investment was put into modernizing the facility. For this current year, however, nearly 10% of the City's CDBG entitlement must go into the repayment of that bad loan; next year will be the final year, after which nearly \$250,000 annually can be utilized to improve and enrich the lives of low- to moderate-income persons and families in the City of Utica.

## **3. Evaluation of past performance**

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

As during the development of last year's Annual Action Plan, the issue of timeliness continued to be an issue during the development of this year's Annual Action Plan for the City of Utica from several perspectives. For the two years prior to this past January (2018), the City has fell on the wrong side of the timeliness ratio due to a change in the manner by which the ratio was calculated. The change involved the incorporation of program income into the calculation; the City had previously not included program income in its calculation.

First, the City made a concerted effort to accurately forecast the amount of program income expected to be receipted in the upcoming program year. These funds were then programmed into the activity selection and the allocations made to those activities.

Second, the City recognized that the bulk of the activities to which CDBG funds were allocated had to be in a position to be implemented quickly once the City received official notice of 'Release of Funds' from HUD. This vigilance is made even more so significant as Congress continues to allocate CDBG funds several weeks, if not months, past the start of the City's program year of April 1st. Once the short construction season of Upstate New York gets factored in, the importance of selecting the right activities becomes even more critical.

#### **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 2018 – 2019 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 Monday, March 5th at 6:30 PM in the Salerno Room of St. Mary of Mt. Carmel church as part of the monthly East Utica Concerned Citizens neighborhood association meeting. The second meeting was held on Wednesday, March 14th at 6:30 PM at the Utica Neighborhood Housing Service (UNHS) Empowerment Center as part of the monthly Cornhill 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 on Monday, February 26th and also shared it with any organization that had inquired about the potential of receiving CDBG funds during the prior program year. Proposals were due by Friday, April 13th at noon.

#### **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 Friday, June 1st. The legal notice stated that the City had drafted its Annual Action Plan for the 2018 – 2019 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 2018 – 2019 Annual Action Plan.

## **7. Summary**

This year's City of Utica 2018-2019 Annual Action Plan places a huge emphasis on infrastructure and other assorted physical building improvements throughout the low and moderate-income areas of the City, those included in the CDBG Target Area. Nearly \$1 million of the City's \$2.447 million CDBG entitlement is allocated toward Public Facilities and Improvements. Another \$216,769 is allocated to demolition of blighting structures and \$175,000 allocated to the completion of a commercial façade improvement on Genesee Street and the installation of replacement windows in the gym of a downtown neighborhood center.

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**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**

<p style="margin: 0in 0in 0pt; line-height: normal;"><font face="Calibri" size="3">City of Utica, New York</font></p><p style="margin: 0in 0in 0pt; line-height: normal;"><font face="Calibri" size="3">Department of Urban & Economic Development</font></p><p style="margin: 0in 0in 0pt; line-height: normal;"><font face="Calibri" size="3">Brian Thomas, Commissioner</font></p><p style="margin: 0in 0in 0pt; line-height: normal;"><font face="Calibri" size="3">Utica City Hall</font></p><p style="margin: 0in 0in 0pt; line-height: normal;"><font face="Calibri" size="3">1 Kennedy Plaza</font></p><p style="margin: 0in 0in 0pt; line-height: normal;"><font face="Calibri" size="3">Utica, New York 13502</font></p><p style="margin: 0in 0in 0pt; line-height: normal;"><font face="Calibri" size="3">Phone 315-792-0185</font></p><p style="margin: 0in 0in 0pt; line-height: normal;"><font face="Calibri" size="3">Fax 315-797-6607</font><span style="line-height: 115%; font-family: 'Calibri',sans-serif; font-size: 11pt; mso-bidi-font-family: 'Times New Roman'; mso-fareast-font-family: Calibri; mso-ansi-language: EN-US; mso-fareast-language: EN-US; mso-bidi-language: AR-SA;">E-mail bthomas@cityofutica.com</span></p>

## **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. In the 2017-2018 year, the City of Utica partnered with a variety of committees dedicated to addressing the housing needs facing its citizens, including the shortage of affordable and sustainable housing, the large quantity of available housing stock that is contaminated with lead, asbestos and other environmental health hazards, and getting information to residents on how to recognize and address contaminants in their living environments. These partnerships include, but are not limited to, The Lead-Free Mohawk Valley coalition, the West Utica Healthy Housing Pilot Project, and the Utica Housing Action Committee. Additionally, we are working with two CHDOs and looking to potentially certify a third in the 2018-2019 calendar year in order to encourage development and rehabilitation projects to help meet these goals.

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

**Identify any Agency Types not consulted and provide rationale for not consulting**

**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	
A Sustainable Neighborhood-Based Master Plan	Utica, New York	The goals of this 2018 - 2019 Annual Action Plan are purposefully intertwined with the City's 2011 master plan, particularly in the following, critical building blocks of the master plan: Housing & Neighborhood Development, Downtown Development and Business & Technology Development.
Mohawk Valley's Strategic Plan	Mohawk Valley Regional Economic Development Council	The plan, originally developed in 2011 and updated on an annual basis, prioritizes the revitalization of vacant, historic and underutilized buildings to amplify social, cultural and profitable interactions.
PHA Agency Plan for FY 2018	Municipal Housing Authority of the City of Utica, NY	The plans of the Utica Municipal Housing Authority, particularly as they relate to public housing residents becoming more involved in management and in homeownership, have been folded into Section AP-60 Public Housing section of this Annual Action 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 2018 – 2019 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 2017 – 2018 program year, two public meetings held on March 5th and 14th, and a 30-day public comment period that started on June 1st and ended with the City’s submission of this Annual Action Plan on June 30th.

**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	General Public	Several dozen citizens attended the 2 public meetings that were advertised	No comments were received as a direct result of the legal notice itself	Not Applicable	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)
2	Public Meeting	General Public	The meeting was largely attended by a handful of residents of the East Utica neighborhood on 03/05/2018; their questions focused more on funding process and past City projects, some of which were funded through CDBG.	Questions focused more on funding process.	Not Applicable	N/A
3	Public Meeting	General Public	A number of citizens attended the second meeting on 03/14/2018, held in conjunction with the Cornhill neighborhood association	Several comments on funding priorities for 2017 and support expressed for submitted applications	Not Applicable	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 \$2,447,259 in Community Development Block Grant funds, \$694,059 in HOME Investment Partnership funds and \$197,502 in Emergency Solutions Grant funds. Additionally, the City of Utica has estimated that it will take in \$280,000 in program income through its CDBG program; the table below summarizes those funding sources and their intended uses.

#### 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	2,447,259	280,000	0	2,727,259	2,500,000	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	694,059	0	0	694,059	700,000	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	197,502	0	0	197,502	200,000	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

## 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
2	HS-2 Homeowner Rehabilitation	2015	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing	HOME: \$69,408	Homeowner Housing Rehabilitated: 4 Household Housing Unit
3	HS-3 Rental Housing Rehabilitation	2015	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing	CDBG: \$50,000 HOME: \$555,246	Rental units rehabilitated: 35 Household Housing Unit
5	HS-5 Fair Housing	2015	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing Administration, Planning and Management	CDBG: \$6,000	Other: 40 Other
12	CD-1 Community Facilities	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$25,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 4000 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
13	CD-2 Infrastructure	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$955,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 10000 Persons Assisted
14	CD-3 Public Services	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Other Special Needs Community Development	CDBG: \$275,340	Public service activities other than Low/Moderate Income Housing Benefit: 16000 Persons Assisted
17	CD-7 Clearance	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$216,769	Buildings Demolished: 1 Buildings
19	ED-2 Financial Assistance	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$250,000	Jobs created/retained: 6 Jobs Businesses assisted: 6 Businesses Assisted
20	ED-3 Technical Assistance	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$30,000	Businesses assisted: 4 Businesses Assisted
22	ED-5 Rehabilitation - Commercial	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$120,000	Businesses assisted: 5 Businesses Assisted
24	AM 1-Overall Administration	2015	2019	Administration	Consolidated Plan (CP) Target Area	Administration, Planning and Management	CDBG: \$537,000	Other: 1 Other

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
25	AM-2 Special Planning/Management	2015	2019	Overall Planning and Administrative Management	Consolidated Plan (CP) Target Area	Housing Administration, Planning and Management	HOME: \$21,377	Other: 1 Other
26	Section 108 Loan Repayment	2015	2019	Loan Repayment	Consolidated Plan (CP) Target Area	Administration, Planning and Management	CDBG: \$262,150	Other: 1 Other

**Table 6 – Goals Summary**

### Goal Descriptions

2	<b>Goal Name</b>	HS-2 Homeowner Rehabilitation
	<b>Goal Description</b>	Rehabilitation of homeowner - occupied housing units for low- to moderate-income homeowners
3	<b>Goal Name</b>	HS-3 Rental Housing Rehabilitation
	<b>Goal Description</b>	Addressing lead-based paint hazards and other necessary rehabilitation in rental housing occupied by low- to moderate-income persons and families
5	<b>Goal Name</b>	HS-5 Fair Housing
	<b>Goal Description</b>	To provide education and enforcement relative to the Fair Housing Act for the City of Utica
12	<b>Goal Name</b>	CD-1 Community Facilities
	<b>Goal Description</b>	Provide for purchase and installation of replacement windows in the gym at the Veteran's Outreach Center

13	<b>Goal Name</b>	CD-2 Infrastructure
	<b>Goal Description</b>	
14	<b>Goal Name</b>	CD-3 Public Services
	<b>Goal Description</b>	Funding not-for-profit agencies and organization that provide public/social services to low- and moderate-income persons and families
17	<b>Goal Name</b>	CD-7 Clearance
	<b>Goal Description</b>	Demolition of City-owned buildings that have a slum and/or blighting influence on the surrounding neighborhood
19	<b>Goal Name</b>	ED-2 Financial Assistance
	<b>Goal Description</b>	Provide revolving loan funds to new or expanding businesses within the City of Utica that commit to making employment opportunities available to low- to moderate-income persons. Also includes program delivery costs.
20	<b>Goal Name</b>	ED-3 Technical Assistance
	<b>Goal Description</b>	Special economic development assistance provided by Rust2Green to for-profit businesses and upstarts
22	<b>Goal Name</b>	ED-5 Rehabilitation - Commercial
	<b>Goal Description</b>	Provide assistance to property owners along the commercial stretch of Genesee Street to improve the facades of their businesses/properties
24	<b>Goal Name</b>	AM 1-Overall Administration
	<b>Goal Description</b>	General program administration, including reimbursement to City for indirect cost expenses
25	<b>Goal Name</b>	AM-2 Special Planning/Management
	<b>Goal Description</b>	Providing HOME funds to CHDO's for operations

<b>26</b>	<b>Goal Name</b>	Section 108 Loan Repayment
	<b>Goal Description</b>	Repayment of Section 108 loan for Hotel Utica

## 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	CDBG - Proctor Park Sidewalk Construction
2	CDBG - Target Area Street Reconstruction
3	CDBG - Burnet Street Sidewalk Reconstruction
4	CDBG - Residential Sidewalk Replacement
5	CDBG - Demolition of City-Owned Properties
6	CDBG - Senior Services
7	CDBG - Youth Services
8	CDBG - Other Public Service Activities
9	CDBG - Genesee Street Commercial Facade Program
10	CDBG - Special Economic Development Assistance
11	CDBG - Economic Reinvestment Program
12	CDBG - Section 108 Loan Repayment
13	CDBG - CNY Fair Housing Council
15	Housing Rehab: Homeowner
16	Housing Rehab: Rental
17	Homeless Activities
18	General Program Administration
19	CDBG - Lead Hazard Control Program
20	CDBG - Community Facilities
21	Housing: CHDO Operations

**Table 7 - Project Information**

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

The listed activities have been determined to be most-needed at this time, and each address a different area of underserved need by various parts of the population, specifically areas which house low-income individuals and families.



**AP-38 Project Summary**  
**Project Summary Information**

<b>1</b>	<b>Project Name</b>	CDBG - Proctor Park Sidewalk Construction
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	CD-2 Infrastructure
	<b>Needs Addressed</b>	Community Development
	<b>Funding</b>	CDBG: \$365,000
	<b>Description</b>	Construction of new 10 foot wide sidewalk on east side of Culver Avenue from entrance to FT Proctor Park to Proctor Rock/Stone
	<b>Target Date</b>	12/31/2018
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	15,000 low- to moderate-income families in the East Utica neighborhood
	<b>Location Description</b>	East Side of Culver Avenue
	<b>Planned Activities</b>	Sidewalks
<b>2</b>	<b>Project Name</b>	CDBG - Target Area Street Reconstruction
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	CD-2 Infrastructure
	<b>Needs Addressed</b>	Community Development
	<b>Funding</b>	CDBG: \$500,000
	<b>Description</b>	The City will reconstruct City-owned streets that are primarily residential within the CP Target Area.
	<b>Target Date</b>	3/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Difficult to determine
	<b>Location Description</b>	Primarily residential streets within the CP Target Area
	<b>Planned Activities</b>	Street Reconstruction
<b>3</b>	<b>Project Name</b>	CDBG - Burnet Street Sidewalk Reconstruction
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	CD-2 Infrastructure
	<b>Needs Addressed</b>	Community Development

	<b>Funding</b>	CDBG: \$40,000
	<b>Description</b>	Reconstruct existing sidewalks on west side of Burnet Street between Bleecker and Post Street
	<b>Target Date</b>	3/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Difficult to determine
	<b>Location Description</b>	Burnet Street
	<b>Planned Activities</b>	Sidewalk Reconstruction
4	<b>Project Name</b>	CDBG - Residential Sidewalk Replacement
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	CD-2 Infrastructure
	<b>Needs Addressed</b>	Community Development
	<b>Funding</b>	CDBG: \$50,000
	<b>Description</b>	Matching program for the reconstruction of main line sidewalk in the CDBG Target Area
	<b>Target Date</b>	3/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Difficult to determine
	<b>Location Description</b>	CDBG Target Area
	<b>Planned Activities</b>	Sidewalks
5	<b>Project Name</b>	CDBG - Demolition of City-Owned Properties
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	CD-7 Clearance
	<b>Needs Addressed</b>	Community Development
	<b>Funding</b>	CDBG: \$216,769
	<b>Description</b>	Demolition of City-Owned properties
	<b>Target Date</b>	12/29/2018

	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	Former Indoor Auto Parts building, 1532 Whitesboro Street
	<b>Planned Activities</b>	Demolition
<b>6</b>	<b>Project Name</b>	CDBG - Senior Services
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	CD-3 Public Services
	<b>Needs Addressed</b>	Community Development
	<b>Funding</b>	CDBG: \$91,500
	<b>Description</b>	Funding to be provided through six different, individual activities for programming for senior citizens.
	<b>Target Date</b>	3/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	1500 low and extremely low-income individuals
	<b>Location Description</b>	North Utica Senior Center, Parkway Senior Center, Mid Utica Neighborhood Preservation Corp and CDBG Target Area
	<b>Planned Activities</b>	Will allocate \$26,000 to North Utica Senior Center \$26,000 to Parkway Senior Center \$ 6,500 to Utica Public Library Sr. Transportation \$25,000 to Comfort House Inc/Abraham House \$ 5,000 to Community Rehab Project, Inc. \$ 3,000 to Mid-Utica Neighborhood Pres. Corp.
<b>7</b>	<b>Project Name</b>	CDBG - Youth Services
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	CD-3 Public Services
	<b>Needs Addressed</b>	Community Development
	<b>Funding</b>	CDBG: \$138,000
	<b>Description</b>	A variety of individual youth activities will be allocated funding income-eligible low and moderate-income families.

	<b>Target Date</b>	3/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	1800 low and moderate-income persons
	<b>Location Description</b>	CDBG Target Area
	<b>Planned Activities</b>	Will allocate: \$20,000 to Compassion Coalition/Teachers \$10,000 to OnPoint for College Utica \$25,000 to Safe Schools MV Parkway Center \$17,000 to Johnson Park Center \$33,000 to Safe Schools MV SOARS Program \$33,000 to Young Scholars Prgm Utica College
<b>8</b>	<b>Project Name</b>	CDBG - Other Public Service Activities
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	CD-3 Public Services
	<b>Needs Addressed</b>	Community Development
	<b>Funding</b>	CDBG: \$45,840
	<b>Description</b>	Funding allocated to other CDBG-eligible public services activities for low and moderate-income persons.
	<b>Target Date</b>	3/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	3500 low- to moderate-income persons
	<b>Location Description</b>	CDBG Target Area
	<b>Planned Activities</b>	Will allocate: \$ 3,500 to SNAP Farmer's Market \$ 6,000 to Center for Family Life and Recovery \$19,340 to Rescue Mission of Utica \$17,000 to Vision to Plant / The Employment Center
<b>9</b>	<b>Project Name</b>	CDBG - Genesee Street Commercial Facade Program
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	ED-5 Rehabilitation - Commercial

	<b>Needs Addressed</b>	Economic Development
	<b>Funding</b>	CDBG: \$120,000
	<b>Description</b>	Rehabilitation of facades of commercial buildings along Genesee Street between Oriskany Street and Dakin Street.
	<b>Target Date</b>	3/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Difficult to determine
	<b>Location Description</b>	Genesee Street between Oriskany Street and Dakin Street
	<b>Planned Activities</b>	Commercial facade rehabilitation
<b>10</b>	<b>Project Name</b>	CDBG - Special Economic Development Assistance
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	ED-3 Technical Assistance
	<b>Needs Addressed</b>	Economic Development
	<b>Funding</b>	CDBG: \$30,000
	<b>Description</b>	Provision of technical assistance related to economic development to primarily low to moderate-income persons
	<b>Target Date</b>	3/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	Within the targeted areas of Genesee Street/Downtown, Bleecker Street, Bagg's Square neighborhood and Varick Street corridor
	<b>Planned Activities</b>	Providing technical assistance for economic development
<b>11</b>	<b>Project Name</b>	CDBG - Economic Reinvestment Program
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	ED-2 Financial Assistance
	<b>Needs Addressed</b>	Economic Development
	<b>Funding</b>	CDBG: \$250,000
	<b>Description</b>	Provide revolving loan funds to for-profit businesses tied to job creation.

	<b>Target Date</b>	3/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	Throughout the City of Utica
	<b>Planned Activities</b>	Funding ongoing revolving loan program
<b>12</b>	<b>Project Name</b>	CDBG - Section 108 Loan Repayment
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	Section 108 Loan Repayment
	<b>Needs Addressed</b>	Administration, Planning and Management
	<b>Funding</b>	CDBG: \$262,150
	<b>Description</b>	Repayment of outstanding Section 108 loan balance and interest
	<b>Target Date</b>	3/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Project has already been closed out, having met its required outcomes.
	<b>Location Description</b>	Hotel Utica, LaFayette Street
	<b>Planned Activities</b>	Repayment of outstanding Section 108 loan principal and interest
<b>13</b>	<b>Project Name</b>	CDBG - CNY Fair Housing Council
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	HS-5 Fair Housing
	<b>Needs Addressed</b>	Housing Administration, Planning and Management
	<b>Funding</b>	CDBG: \$6,000
	<b>Description</b>	Contract with CNY Fair Housing Council to provide education and enforcement relative to the Fair Housing Act for the City of Utica
	<b>Target Date</b>	3/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	

	<b>Location Description</b>	Throughout the City of Utica
	<b>Planned Activities</b>	Contract with CNY Fair Housing Council to provide education and enforcement relative to the Fair Housing Act for the City of Utica
<b>14</b>	<b>Project Name</b>	Housing Rehab: Homeowner
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	HS-2 Homeowner Rehabilitation
	<b>Needs Addressed</b>	Housing
	<b>Funding</b>	HOME: \$69,408
	<b>Description</b>	Rehabilitation of homeowner-occupied housing units
	<b>Target Date</b>	3/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Rehabilitation of homeowner-occupied housing units
<b>15</b>	<b>Project Name</b>	Housing Rehab: Rental
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	HS-3 Rental Housing Rehabilitation
	<b>Needs Addressed</b>	Housing
	<b>Funding</b>	HOME: \$555,246
	<b>Description</b>	Rehabilitation of rental housing units
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Rehabilitation of rental housing units
<b>16</b>	<b>Project Name</b>	Homeless Activities
	<b>Target Area</b>	Consolidated Plan (CP) Target Area



	<b>Goals Supported</b>	CD-1 Community Facilities AM 1-Overall Administration
	<b>Needs Addressed</b>	Homelessness
	<b>Funding</b>	ESG: \$197,502
	<b>Description</b>	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.
	<b>Target Date</b>	3/30/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	Johnson Park Center - 26 Johnson Park, Utica NY 13501 YWCA Mohawk Valley - 7 Rutger Park, Utica NY 13501 Central New York Services, Inc. - 1411 Genesee Street, Utica NY 13501 The Utica Center for Development, Inc. - 726 Washington Street, Utica NY 13502 Utica Municipal Housing Authority - 509 Second Street, Utica NY 13501
	<b>Planned Activities</b>	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.
17	<b>Project Name</b>	General Program Administration
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	AM 1-Overall Administration
	<b>Needs Addressed</b>	Administration, Planning and Management
	<b>Funding</b>	CDBG: \$537,000 HOME: \$48,028
	<b>Description</b>	Provide general program administration in carrying out and implementing the 2018 - 2019 City of Utica Annual Action Plan, including reimbursement of indirect cost expenses to the City of Utica
	<b>Target Date</b>	3/31/2019

	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	Not applicable
	<b>Location Description</b>	Not applicable
	<b>Planned Activities</b>	General program administration
<b>18</b>	<b>Project Name</b>	CDBG - Lead Hazard Control Program
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	HS-3 Rental Housing Rehabilitation
	<b>Needs Addressed</b>	Housing
	<b>Funding</b>	CDBG: \$50,000
	<b>Description</b>	Conduct rehabilitation of rental units for low- to moderate-income persons and families that addresses lead-based paint hazards in the home
	<b>Target Date</b>	3/31/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	8 low- to moderate-income families
	<b>Location Description</b>	Primarily in West Utica and Cornhill neighborhoods of Utica
	<b>Planned Activities</b>	Rental rehabilitation focused on addressing lead-based paint hazards
<b>19</b>	<b>Project Name</b>	CDBG - Community Facilities
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	CD-1 Community Facilities
	<b>Needs Addressed</b>	Community Development
	<b>Funding</b>	CDBG: \$25,000
	<b>Description</b>	Provide for the purchase and installation of replacement windows at the Veteran's Outreach Center
	<b>Target Date</b>	3/31/2019
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	1,000 low- to moderate-income families

	<b>Location Description</b>	Veteran's Outreach Center
	<b>Planned Activities</b>	Provide for the purchase and installation of replacement windows at the Veteran's Outreach Center
<b>20</b>	<b>Project Name</b>	Housing: CHDO Operations
	<b>Target Area</b>	Consolidated Plan (CP) Target Area
	<b>Goals Supported</b>	AM-2 Special Planning/Management
	<b>Needs Addressed</b>	Housing Administration, Planning and Management
	<b>Funding</b>	HOME: \$21,377
	<b>Description</b>	Funding of essential operations for City of Utica CHDO's
	<b>Target Date</b>	
	<b>Estimate the number and type of families that will benefit from the proposed activities</b>	
	<b>Location Description</b>	
	<b>Planned Activities</b>	Funding of essential operations for City of Utica CHDO's

## **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 2018 – 2019 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**

<b>Target Area</b>	<b>Percentage of Funds</b>
Consolidated Plan (CP) Target Area	43

**Table 8 - Geographic Distribution**

### **Rationale for the priorities for allocating investments geographically**

In past years, the City of Utica has allocated its Community Development Block Grant on a geographic basis. The City has targeted its investments to select areas of the City within the CDBG Target Area, including the Bagg’s Square neighborhood and the Varick Street and Bleecker Street corridors. In the most recent Annual Action Plans submitted to HUD, Mayor Palmieri began focusing efforts on the West Utica neighborhood.

This year, however, the basis for allocating CDBG funds was much more needs-based, rather than geographically-based. And the overwhelming need throughout the City, and most specifically in the CDBG Target Area, is for infrastructure. For that reason, almost one-half of the City’s entitlement for the 2018 – 2019 program year was allocated to IDIS Matrix Code 03 - Public Facilities and Improvements and 04 – Demolition.

Of the other half of the entitlement, the activities that are allocated CDBG funds either have no basis for allocation (general administration, indirect costs, Section 108 repayment) which amount to 29% of the funds available to be allocated this program year or are based on income eligibility.

### **Discussion**

## Affordable Housing

### AP-55 Affordable Housing – 91.220(g)

#### Introduction

In the 2018-2019 program year, the City hopes to utilize all grants/allocations, partnerships, developers and CHDOs to maximize its efficiency in creating and/or maintaining housing options for the neediest residents. The following data was based on section AP-55 of the City of Utica 2015-2019 Consolidated Plan (pg 180).

One Year Goals for the Number of Households to be Supported	
Homeless	410
Non-Homeless	51
Special-Needs	10
Total	471

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

One Year Goals for the Number of Households Supported Through	
Rental Assistance	95
The Production of New Units	48
Rehab of Existing Units	13
Acquisition of Existing Units	0
Total	156

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 2018 on October 18, 2017 (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 2019 which is, as yet, unavailable), the Utica Municipal Housing Authority (UMHA) is proposing to accomplish the following:

1. Complete the construction of the Roosevelt Residences Project consisting of 50 units (8 units designated for the homeless) and implement the Project-Based Voucher program (25 units)
2. Develop, acquire or preserve affordable housing in Central New York;
3. Begin the digitalization of housing operation operations to improve customer service and ensure compliance;
4. As part of our commitment to service homeless families and individuals, continue to actively collaborate with social service and local non-profit agencies on a series of initiatives to reduce and help prevent homelessness;
5. Improve resident rent and fee collection; increase professional staff development and compliance monitoring;
6. Continue to implement the "Quality of Life" and "People Come First" management philosophy and approach to ensure the highest level of resident services;
7. Explore the feasibility of using the Rental Assistance Demonstration Program to preserve our public housing inventory;
8. Implement the HUD smoke free regulations;
9. Develop new revenue enhancing programs such as providing property management services;
10. Complete energy performance contracts including windows at Marino-Ruggiero Apartments and 819 Hamilton Street;
11. Apply to the Public Housing Preservation Program (PHP), LIHTC, and RAD and other financing sources for modernization of UMHA public housing properties, targeting the Adrean Terrace, N.D. Peters Manor, and F.X. Matt Apartments.
12. Increase communication with residents through newsletters and social media;
13. Install new surveillance camera systems;

14. Improve resident compliance with lease and house rules through case management, eviction programs, and lease violation tracking systems;
15. Increase the use of translators and interpreters to facilitate communication with Limited English Proficient individuals;
16. Strengthen Section 3, Community Service, and resident hiring initiatives;
17. Improve maintenance services through achieving efficiencies;
18. Develop new sources of funding through Central York Community Solutions, Inc.;
19. Explore the feasibility of purchasing affordable housing rental properties (focusing on expiring Project-Based Section 8 projects);
20. Use its statutory authority to serve as a bonding issuer to develop affordable housing and other projects to benefit the community;
21. Develop student housing without HUD funds in public-private partnership with Utica College;
22. Develop loft housing designed as live and work space for low and moderate income artists;
23. Apply for additional Housing Choice vouchers as well as Mainstream, Family Unification, Enhanced Voucher, and Homeless Veteran vouchers;
24. Coordinate housing and community development efforts with the City of Utica Rust to Green Initiative;
25. Continue to implement a Housing Information and Referral Center to help community residents access housing opportunities;
26. Continue to operate the nationally acclaimed AmeriCorps program which helps low-income obtain jobs, learn financial literacy skills, and find housing as well as help veterans secure services;
27. Operate Section 3 job training programs for youth such as the Fresh Start Program and Summer Youth Employment Program;
28. Conduct a homeless street outreach program.

### **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 2018 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 Plan, the process by which it is drafted each year and the role that residents play in the drafting of that Plan. A public hearing was held to solicit community input on the 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 continue to implement following resident engagement activities:

- 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. The UMHA continues to provide HUD required follow-up and monitoring services to City of Utica HOME units developed as part of the HOPE VI program.

**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 2018, 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**

The Utica Homeless Street Outreach Program will deploy three AmeriCorps members from the UMHA AmeriCorps Program as well as professionals from multiple agencies and disciplines to meet the needs of youth, adults and families in the City of Utica who are street homeless. Outreach teams will travel to locations where people in need reside or congregate (e.g., encampments, under bridges, in abandoned buildings, Union Station, etc.) and provide on-site case management and referral services. Food boxes will be provided to address the nutritional needs of the individuals served, and as a means of engaging people to evaluate the need for additional services. With this year's funding, the UMHA will offer comprehensive outreach services and to lay the foundation for a long term program to help the street homeless in our community to access services and housing. The program will serve homeless youth, adults, and families. Many of the clients will be chronically homeless persons who may have co-occurring mental health, substance abuse, and medical conditions.

At the intake process, the program will coordinate, with client consent, mental/physical/trauma screenings in accordance with program protocols. The needs assessment will determine client housing, education, employment, and supportive service needs and will be used to develop Independent Living Plan to define personal self-sufficiency goals and establish a timetable for achieving these goals. The program will use HMIS data intake, assessment, and exit forms to monitor client progress and report data to funders. Individual confidential files will be maintained on each client. A pocket guide with housing/supportive services resources will be provided to clients. Since we are using a Housing First model, housing stability (placement into emergency housing) rather than treatment goals will be the majority. Staff will use motivational interviewing to elicit and strengthen motivation to change. A strengths-based approach stressing the client assets will be used for interviewing and case management practice.

**Addressing the emergency shelter and transitional housing needs of homeless persons**

We have several homeless emergency shelters that serve almost all populations; the only population unserved at this point is homeless youth under the age of 18-but there is a homeless youth shelter and drop-in center located in Rome, and CoC partners can refer and get those youth to that shelter. We

have been working on getting a youth shelter up and running in Utica and are very close to securing the last bit of funding needed. All other populations can seek emergency shelter within the city via the Rescue Mission Mens Shelter, which is increasing their bed capacity from 40 to 50 beds; Johnson Park Family Shelter, which can be accessed by single women or families (which includes men with children); Emmaus House which may be accessed by single women or women with children; and the YWCA has a shelter for domestic violence victims. There are times when all emergency shelter beds have been full, which Oneida County DSS is able to provide motel room vouchers if the need is there. Transitional housing beds have been slowly declining, as the goal has been to permanently house individuals and families from the emergency shelters. But, there are still several transitional housing providers for individuals, mostly youth, that need a transitional setting before being able to move on to permanent housing.

**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 two 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 have completed work on two large (42-unit and a 46-unit) affordable housing projects in the central city area and both projects have units dedicated to homeless persons and families only.

To shorten the length of time that individuals and families remain homeless, we currently have 3 rapid re-housing programs for the City of Utica that are accessed through the CoC Coordinated Entry System. One of the programs serves domestic violence survivors exclusively, the second serves transition aged youth (18-24) exclusively, both of which provide medium to long term rental assistance and case management; the third program is open to any homeless individual or family through the coordinated entry process and provides short term (3-month) rental assistance and case management.

**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 Exchange webpage ([https://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/affordablehousing](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. The previous year's Action Plan referenced the 2015 American Community Survey (ACS) data that stated 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. Additionally, 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. With the 2020 Decennial Census less than two years away, we do not anticipate a significant change in these statistics. While the general economy has improved, there has been no major increase in higher-paying jobs in the region. At the same time, the interest rates have been raised once in 2018 with three more planned increases this year alone, and inflation has increased 2.14% and 2.54% in 2017 and 2018, respectively, while the Cost of Living Adjustment (COLA) has only increased 2% in 2018 after a paltry .3% in 2017 (with Medicare cost increases completely consuming the increase in benefits). As the cost of living increases have not kept up with the rate of inflation or increase in the interest rate, the costs of affording reasonable housing (either purchased or rental) will not improve unless action is taken by the City and its various partnerships.

### **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**

Currently, the City is working with Rust2Green after having secured the Local Initiatives Support Corporation (LISC) grant which will be used to update the City's Geographic Information System (GIS) to better understand the needs of our infrastructure, environment and residents, and our partnership with the Community Foundation of Herkimer and Oneida Counties is working to secure a grant through the Green and Healthy Homes Initiative (GHHI) to increase the number of homes that can be rehabilitated. The City is continuing to rework the land controls and zoning ordinances through a NYSERDA Cleaner, Greener Communities Program grant received in previous years in order to remove barriers that restrict development for low-income residents. As stated in the previous Annual Action Plan, the City is also working to feature more ways to assist with comprehension by those who do not speak English as their primary language. As an additional update to the removal of barriers, the Utica Industrial Development Agency has been working to streamline the process for affordable housing projects to obtain Payment in Lieu of Taxes (PILOT) agreements. Previously, developers needed to go through the Common Council for approval prior to negotiations with City departments.

**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 2018 – 2019 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 2018-2019 program year, the City of Utica has dedicated over \$333,000 from its Community Development Block Grant for Public Services. As Program Income is expected to net roughly \$210,000, this figure represents just under 13% of the City's CDBG budget, just under the maximum 15% permitted under federal regulations. Within that budget, \$58,366 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 \$158,795 is spread over a variety of public service categories, including child care services, crime awareness/prevention and employment training. Pole cameras installed by the City of Utica Police Department from the 2017 allocation will continue to be maintained.

### **Actions planned to foster and maintain affordable housing**

The 2017 – 2018 program year was very active as numerous projects, representing dozens of new, affordable units, were started and/or awarded funding with many of them either complete or on schedule to complete by the end of 2018. 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) that is scheduled to open in June and is already almost fully-leased. The new West Street Apartments project by the Rescue Mission (\$13 million project that created 42 affordable apartment units) was officially opened in May. The Rescue Mission is also embarking on a “small house” venture to create homes with less than 700 square feet of living space. The success of their initial three structures is expected to lead to a greater push for funds to construct more throughout the City. The Roosevelt Residences project (\$13 million project that will create 50 affordable flat and townhouse units) has sixteen structures currently in progress with more breaking ground each week. The Globe Mill project in West Utica continues to be a viable project, and funding is expected to be awarded before the end of 2018. 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. DePaul intends to seek an allocation under the 4% limit of financing for the 2018-2019 program years. 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 approval from the City's Planning Board. Pathstone Development of Rochester is

in the preliminary process of rehabilitating the Macartovin Apartments on Genesee and Devereux Streets after having been awarded funding this year. While not officially listed for sale, there have been several developers pushing to acquire and rehabilitate the Olbiston Apartments building at Genesee and Oswego Streets, a 148-unit complex built in the late 1800s that is currently barely-habitable and is less than 40% occupied.

### **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.

In the 2018-2019 program year, the Community Foundation of Herkimer & Oneida Counties, Inc. will join with the City of Utica to submit an application for grant funding under HUD's Lead Hazard Control program. The Community Foundation will pledge financial resources as the local match for the application, as it has for the past several years. 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 strong. As the Notice of Funds Available (NOFA) has not yet been released as of this time, it is unclear how much funding will be available. However, the City will continue to work with the Foundation as well as groups such as United Neighborworks Homeownership Center (UNHS) through its HOME grant to remediate lead contamination in homes throughout target neighborhoods of the City.

### **Actions planned to reduce the number of poverty-level families**

In 2017, the City of Utica was awarded \$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. A town hall-style meeting was held in early 2018, and an RFP was issued establishing that increasing daycare options was the top priority in fighting family poverty. 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. A bid was submitted and is currently under review for approval, at which time the City will begin to use that \$1.5 million to implement the strategies decided upon.

### **Actions planned to develop institutional structure**

During this past 2017 – 2018 program year, the City took a number of steps to proactively develop its institutional structure. Just before the end of the 2017 calendar year, the City hired Michael Peek as its Housing Development Specialist within the Department of Urban & Economic Development. Among his duties, Mike is responsible for overseeing and administering the City's HOME Program.

At roughly the same time, the City of Utica joined the National Community Development Association. Through its membership, Mike was able to attend HOME training classes sponsored by the NCD. Additionally, the NCD has proven to be a valuable – and timely - source of information regarding the current administration's plans relative to funding for the CDBG, HOME and ESG entitlement programs.

Moving forward, Community Development staff will continue to avail themselves of any and all training opportunities relative to the administration of CDBG, HOME and/or ESG funds, including but not limited to in-person classes, webinars and TA Thursdays offered by the regional HUD office.

### **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
<b>Total Program Income:</b>	<b>0</b>

#### 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.	0.00%

#### 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 through Community Housing Development Organizations (CHDO) such as United Neighborworks Homeownership Center (UNHS), 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). This policy is currently being used in the process of guiding a homeowner-initiated resale of a HOME-funded property developed as part of the Rebuild Mohawk Valley (RMV) initiative.

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 (such as the City's Municipal Housing Authority) 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(I)(4)**

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

[http://www.mvhomeless.org/mvhhc\\_docs%20for%20site\\_web%20design/CoC/NY-518%20CoC%20Reallocation%20Policies%20and%20Procedures%202016.pdf](http://www.mvhomeless.org/mvhhc_docs%20for%20site_web%20design/CoC/NY-518%20CoC%20Reallocation%20Policies%20and%20Procedures%202016.pdf)

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 CoC utilizes a “no-wrong door” approach consisting of multiple access sites that have been and continue to be advertised to the community and to all service provider partners. Our local districts of social services are the main daytime entry point for homeless persons to obtain emergency housing assistance. The CES utilizes the VI-SPDAT, which is completed at the local emergency shelters, and then entered into our HMIS database. Emergency housing/shelter intakes are completed and entered into the HMIS (or comparable database for our CoC’s DV shelter provider) within 1-3 business days and the VI-SPDAT is completed, with CES program entry, within 5 days of arrival (this is usually accomplished within the first 48 hours). Permanent Housing Providers (RRH and PSH) and Transitional Housing providers in check the CES “by-name” or Active List daily to keep up to date with new entries. Anyone that is not in emergency shelter (i.e. on the streets) is referred to our RRH case manager for a CES intake and assessment. Once on the CES list, providers can then narrow their search to their program specific criteria such as Veterans’ status, chronically homeless, family with children, transition aged youth, etc

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 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, Betty-Joan Beaudry - United Way of the Valley and Greater Utica, Dave Lowitz- Resource Center for Independent Living. 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/](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. 3075-0084		Version 7/03	
1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		2. DATE SUBMITTED June 21, 2018		Applicant Identifier M-18-MC-35-0506	
<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		4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier	
Legal Name: City of Ulica, New York		Organizational Unit: Department: Department of Urban and Economic Development			
Organizational DUNS: 01D 758 958		Division:			
Address: Street: Ulica City Hall 1 Kennedy Plaza		Name and telephone number of person to be contacted on matters involving this application (give area code)			
City: Ulica		Prefix: Mr.		First Name: Brian	
County: Onalda		Middle Name:			
State: NY		Zip Code: 13502		Last Name: Thomas	
Country: Ulica States		Suffix: A/ICP			
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 1 5 - 8 0 0 0 4 1 8		Phone Number (give area code): 315-792-0181		Fax Number (give area code): 315-797-6607	
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"/>		7. TYPE OF APPLICANT: (See back of form for Application Types) Municipality Other (specify)			
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 1 4 - 2 1 8		9. NAME OF FEDERAL AGENCY: US Dept. of Housing & Urban Development			
TITLE (Name of Program): HOME Investment Partnership Program		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: City of Ulica, New York, Community Development Block Grant Annual Plan			
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): Ulica, New York in Onalda County		14. CONGRESSIONAL DISTRICTS OF: a. Applicant 24 b. Project 24			
13. PROPOSED PROJECT Start Date: 04/01/18 Ending Date: 03/31/19		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. Yes. <input type="checkbox"/> THIS PRE-APPLICATION/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: a. Federal \$ 694,058 b. Applicant \$ c. State \$ d. Local \$ e. Other \$ f. Program Income \$ g. TOTAL \$ 694,058		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: W.	
Last Name: Palmieri		Suffix:			
b. Title: Mayor, City of Ulica, New York		c. Telephone Number (give area code): 315-792-0100			
d. Signature of Authorized Representative: 		e. Date Signed: 06/21/18			
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. 1076-0001

Version 7003

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b> June 21, 2016	<b>3. DATE RECEIVED BY STATE</b>	<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	<b>Applicant Identifier</b> B-19-MC-36-0110 <b>State Application Identifier</b>  <b>Federal Identifier</b>
<b>5. APPLICANT INFORMATION</b>		<b>Legal Name:</b> City of Utica, New York			
<b>Organizational DUNS:</b> 010 759 959		<b>Organizational Unit:</b> Department: Department of Urban and Economic Development Division:			
<b>Address:</b> Street: Utica City Hall 1 Kennedy Plaza City: Utica County: Oneida State: NY Country: Utica States		<b>Name and telephone number of person to be contacted on matters involving this application (give area code):</b> Prefix: Mr First Name: Brian Middle Name:  Last Name: Thomas Suffix: AICP Email: bthomas@cityofutica.com			
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> 15-8030418		<b>Phone Number (give area code):</b> 315-792-0181		<b>Fax Number (give area code):</b> 315-797-6607	
<b>8. TYPE OF APPLICATION:</b> <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"/>		<b>7. TYPE OF APPLICANT: (See back of form for Application Types)</b> Municipality Other (specify)			
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> 14-218		<b>9. NAME OF FEDERAL AGENCY:</b> US Dept. of Housing & Urban Development			
<b>12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):</b> Utica, New York in Oneida County		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> City of Utica, New York, Community Development Block Grant Annual Plan			
<b>13. PROPOSED PROJECT</b> Start Date: 04/01/18 Ending Date: 03/31/18		<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant 24 b. Project 24			
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>			
a. Federal	\$ 2,447,259. <sup>00</sup>	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			
b. Applicant	\$ . <sup>00</sup>	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <input type="checkbox"/> Yes If "Yes" attach an explanation. <input checked="" type="checkbox"/> No			
c. State	\$ . <sup>00</sup>				
d. Local	\$ . <sup>00</sup>				
e. Other	\$ . <sup>00</sup>				
f. Program Income	\$ 280,000. <sup>00</sup>				
g. TOTAL	\$ 2,727,259. <sup>00</sup>				
<b>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.</b>					
<b>a. Authorized Representative:</b>					
Prefix Mr.	First Name Robert	Middle Name M.		Suffix	
Last Name Palmer		Title Mayor, City of Utica, New York		c. Telephone Number (give area code) 315-792-0100	
d. Signature of Authorized Representative 		e. Date Signed 06/21/18			

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**APPLICATION FOR FEDERAL ASSISTANCE**

OMB Approved for: 1076-0296

Version 7003

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b> June 21, 2018	Applicant Identifier E-18-MC-35-0010
<input type="checkbox"/> Pre-application <input checked="" type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
<b>5. APPLICANT INFORMATION</b>		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b> Federal Identifier	
<b>Legal Name:</b> City of Utica, New York		<b>Organizational Unit:</b> Department: Department of Urban and Economic Development	
<b>Organizational DUNS:</b> 010 759 559		Division:	
<b>Address:</b> Street: Utica City Hall 1 Kennedy Plaza		<b>Name and telephone number of person to be contacted on matters involving this application (give area code)</b>	
City: Utica		Prefix: Mr.	First Name: Brian
County: Oneida		Middle Name	
State: NY	Zip Code: 13502	Last Name: Thomas	
Country: Utica States		Suffix: AICP	
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> 15-8000418		Email: bthomas@cityofutica.com	
<b>8. TYPE OF APPLICATION:</b> <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): 315-782-0181	Fax Number (give area code): 315-787-8807
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> TITLE (Name of Program): Emergency Solutions Grant 14-218		<b>7. TYPE OF APPLICANT: (See back of form for Application Types)</b> Municipality Other (specify)	
<b>12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):</b> Utica, New York in Oneida County		<b>9. NAME OF FEDERAL AGENCY:</b> US Dept. of Housing & Urban Development	
<b>13. PROPOSED PROJECT</b> Start Date: 04/01/18		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> City of Utica, New York, Community Development Block Grant Annual Plan	
Ending Date: 03/31/19		<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant 24	
<b>15. ESTIMATED FUNDING:</b>		b. Project 24	
a. Federal	\$ 197,502.00	<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>	
b. Applicant	\$ .00	a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON	
c. State	\$ .00	DATE:	
d. Local	\$ .00	b. No. <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372	
e. Other	\$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
f. Program Income	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>	
g. TOTAL	\$ 197,502.00	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input checked="" type="checkbox"/> No	
<b>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.</b>			
a. Authorized Representative:			
Prefix Mr.	First Name Robert	Middle Name M.	
Last Name Palmeri		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 06/21/18	

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Standard Form 424 (Rev. 3-2003)  
Prescribed by OMB 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, which means it will conduct an analysis of impediments to fair housing choice within the jurisdiction, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

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

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

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

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

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

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

  
Signature/Authorized Official      Date

### Specific CDBG Certifications

The Entitlement Community certifies that:

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

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

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

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

1. Maximum Feasible Priority. With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available);
2. Overall Benefit. The aggregate use of CDBG funds including section 108 guaranteed loans during program year(s) 14, 17, 18 (a period specified by the grantee consisting of one, two, or three specific consecutive program years), shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;
3. Special Assessments. It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

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

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

**Excessive Force** -- It has adopted and is enforcing:

1. A policy prohibiting the use of excessive force by law enforcement agencies within its

jurisdiction against any individuals engaged in non-violent civil rights demonstrations; and

2. A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction;

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

**Lead-Based Paint** -- Its 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.

  
Signature/Authorized Official      6/26/18  
Date

Mayor  
Title

**Specific HOME Certifications**

The HOME participating jurisdiction certifies that:

**Tenant Based Rental Assistance** -- If the participating jurisdiction intends to provide tenant-based rental assistance:

The use of HOME funds for tenant-based rental assistance is an essential element of the participating jurisdiction's consolidated plan for expanding the supply, affordability, and availability of decent, safe, sanitary, and affordable housing.

**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.

**Appropriate Financial Assistance** -- 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;

  
Signature/Authorized Official      Date 6/26/18

Mayor  
Title

### ESG Certifications

The Emergency Solutions Grants Program Recipient certifies that:

**Major rehabilitation/conversion** – If an emergency shelter's rehabilitation costs exceed 75 percent of the value of the building before rehabilitation, the jurisdiction 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 jurisdiction 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 jurisdiction 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 jurisdiction 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 jurisdiction 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 jurisdiction 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 such individuals.

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

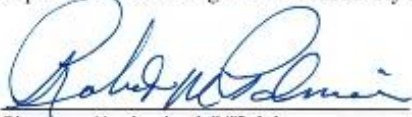
**Confidentiality** – The jurisdiction has established and is implementing procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release 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 jurisdiction 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 jurisdiction undertakes with assistance under ESG are consistent with the jurisdiction's consolidated plan.

**Discharge Policy** – The jurisdiction 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.



Signature/Authorized Official

Date

6/26/18

Mayor

Title

**APPENDIX TO CERTIFICATIONS**

**INSTRUCTIONS CONCERNING LOBBYING:**

**A. Lobbying Certification**

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