

Demo

Robert M. Palmieri, Mayor

Brian Thomas, Commissioner of Urban & Economic Development

City of Utica, New York

2020 – 2024 Consolidated Plan & 2020- 2021 Annual Action Plan

April 18, 2020



To address plan for expenditure of supplemental ESG-CV funding provided for by the CARES Act to prevent, prepare for and respond to global coronavirus pandemic.

Executive Summary

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

1. Introduction

In compliance with HUD regulations, the City of Utica developed this FY 2020-2024 Five Year Consolidated Plan for the period of April 1, 2020 through March 31, 2024 as a strategic implementation plan for the City's Federal funding programs for housing, community and economic development.

The City of Utica is an entitlement community under three U.S. Department of Housing & Urban Development's (HUD) Programs:

1. Community Development Block Grant (CDBG)

CDBG funds are used to develop viable urban communities by providing decent housing and a suitable living environment and expanding economic opportunities principally for low- and moderate-income persons.

2. HOME Investment Partnership (HOME)

HOME funds can be used for a wide range of activities including acquiring, developing, and/or rehabilitating affordable housing for rent or homeownership or providing direct rental assistance to low-income people in order to create affordable housing for low-income households.

3. Emergency Solutions Grant (ESG)

ESG funds engage homeless persons and households living on the street; improve the number and quality of emergency shelters for homeless persons and households; help operate shelters; provide essential services to shelter residents; rapidly re-house homeless persons and households; and prevent persons and households from becoming homeless.

The Five Year Consolidated Plan establishes the Utica's goals for the next five (5) year period and outlines initiatives the City proposes to undertake to address its needs and objectives including: 1)

public infrastructure; 2) the rehabilitation and construction of decent, safe, and healthy housing; 3) creating a suitable living environment; 4) removing slums and blighting conditions; 4) promoting fair housing; 5) improving public services; 6) expanding economic opportunities; and 7) principally benefitting low and moderate income persons.

The Consolidated Plan is implemented through annually-developed Action Plans which provide a concise summary of the actions, activities, and specific funding resources that will be used each year to address the priority needs and goals identified in the Consolidated Plan; both plans are submitted to HUD for review and approval. This Consolidated Plan will include the first year (2020 - 2021) Annual Plan.

This 2020 – 2024 Consolidated Plan is an outgrowth of a number of other planning initiatives that the City has embarked on in just the past twelve to eighteen months. The City has completed a Master Plan of its parks and recreation system; the plan was adopted by the Common Council in June 2019. Additionally, the City has been working with The Community Foundation of Herkimer and Oneida Counties on the development of a Downtown Vision Plan. As a result of that Plan, the City was successfully awarded a \$10 million Downtown Revitalization Initiative (DRI) grant by Governor Cuomo in November 2019. As of the drafting of this Consolidated Plan, a local steering committee has met several times to discuss potential projects to be funded with this \$10 million with final decisions anticipated in Summer 2020 and implementation to begin in 2021.

2. Summary of the objectives and outcomes identified in the Plan Needs Assessment Overview

The City of Utica is required to use HUD’s Performance Outcome Measurement System (POMS) for the Consolidated Plan. The POMS was developed to enable HUD to collect and aggregate standardized performance data on entitlement-funded activities from all entitlement grantees nationwide for use in reporting to the US Congress on the effectiveness of formula entitlement programs in meeting HUD’s strategic objectives.

The HUD POM has three objectives with performance outcomes and measurements:

Creating a suitable living environment

-accessibility for the purpose of providing suitable living environments -affordability for the purpose of providing suitable living environments -suitability for the purpose of providing suitable living environments

Providing decent affordable housing

-accessibility for the purpose of providing decent affordable housing -affordability for the purpose of providing decent affordable housing -suitability for the purpose of providing decent affordable housing

Creating economic opportunities

-accessibility for the purpose of creating economic opportunities -affordability for the purpose of creating economic opportunities -suitability for the purpose of creating economic opportunities

In addition to determining the performance outcome measurement, HUD also requires entitlement grantees to use the HUD Integrated Disbursement and Information System (IDIS) accomplishment data system according to eighteen (18) federally-defined Performance Indicator categories related to the following:

1. housing construction and rehabilitation
2. public services and facilities
3. business/economic development
4. homelessness prevention-related activities

The 2020 – 2024 Consolidated Plan outlines the activities the City of Utica proposes to initiate to achieve these objectives and associated outcomes required by HUD. The City of Utica expects to allocate a large percentage of its CDBG HUD entitlement funds to “community” redevelopment programs that are part of a comprehensive approach. The 2020 – 2024 Consolidated Plan outlines various activities within the following categories: housing construction and rehabilitation, public services and community development, business /economic development and homelessness prevention activities.

3. Evaluation of past performance

In the past five years, under the City’s 2015 – 2019 Consolidated Plan, the City of Utica witnessed explosive growth across all of its various neighborhoods. Additionally, the development wasn’t limited to just one sector or type. Projects included a healthy mix of new construction and gut rehabilitation

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involving retail, office, high-end loft apartments and affordable housing. As a result, the City's tax base has seen sizable increases consistently from year to year.

During the same time, the City has been incredibly successful in marketing and selling all of its commercial properties that the City had in inventory when Mayor Palmieri came into office in January 2012. The bulk of those properties were located throughout the downtown neighborhood. Sold by the City's Urban Renewal Agency (UURA), the properties have been returned to productive use and back to the tax rolls.

The improved economy at the local, state and national level over these past five years is also reflected in the notable reduction in residential properties that have been taken by the City through its tax foreclosure process. For the past several years, the UURA has sold out of its inventory of residential properties before taking title to the next batch of properties. Per its practice, the majority of successful bidders intend to occupy the homes that they are purchasing, many being first-time homebuyers with a fair share of them being immigrants and refugees who are realizing their share of the American dream for the first time.

For nearly twenty years prior to the most recent 2015 – 2019 Consolidated Plan, the City of Utica utilized CDBG funds for the demolition of residential structures of four units or less. Part of the City's rationale was that there was a preponderance of such homes throughout the City, so much so that that City had to call the National Guard in during the 1990's to assist with demolition as incident of arson were on a frightening increase. However, part of the rationale was that the activity was that the federal environmental review required for such structures was much simpler than for larger residential or commercial structures.

Over the past few years, however, the City has been much more inclined to tackle the larger blighted buildings with CDBG funds. Given the economic resurgence that the City has seen over the last five years, the properties with the fewest hurdles to redevelop have been the first to market leaving those properties with more hurdles to still languish. As a land-constrained City unable to push its boundaries into the surrounding suburban greenfields, continued economic growth will only be realized if the City continues to use its federal entitlement funds to address brownfield properties; that priority focus will be evident in this 2020 – 2024 Consolidated Plan.

Additionally, the last time that the City of Utica conducted an Analysis of Impediments to Fair Housing was in a regional effort with the City of Rome in 2011. The City is addressing this HUD requirement in the first year (2020 – 2021) of this Consolidated Plan. While the Analysis was not able to be completed in time for incorporation of its data into the Plan, the recommendations will be a focus for the City in subsequent years of the 2020 – 2024 Consolidated Plan.

4. Summary of citizen participation process and consultation process

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In developing this 2020 – 2024 Consolidated Plan, the City of Utica utilized several different methods of trying to elicit public opinion into the drafting of the Plan, including:

Neighborhood Meetings

- **Wednesday, January 29, 2020 at 7:00 PM** at West Side Senior/Community Center, 717 Court Street, hosted by the West Utica Citizens Forum
- **Monday, February 3, 2020 at 6:30 PM** at St. Mary of Mt. Carmel/Blessed Sacrament, 648 Jay Street, hosted by the East Utica Concerned Citizens
- **Wednesday, February 12, 2020 at 6:30 PM** at UNHS Empowerment Center, 230 James Street, hosted by the Cornhill Neighborhood Association

Staff of the City's Department of Urban & Economic Development (U&ED) attended the regular monthly neighborhood meetings that cover the largest of the City's primarily low- to moderate-income residential neighborhoods. Staff provide background on the various entitlement funds that the City receives annually, the eligible activities that each funds and how the City has generally spent the funds in the current year. They then provide attendees with an opportunity to provide input into how the funds should be spent or prioritized in the upcoming program year. In this year's case, staff also encouraged attendees to weigh in on priorities for the five-year Consolidated Plan.

Agency Meetings

U&ED staff meet on a continual basis with housing, social service agencies and the Continuum of Care to provide technical assistance and receive input on a variety of issues.

Not-for-profit funding applications

The City of Utica opened a call for proposals for funding through the City's annual CDBG entitlement program for the 2020-2021 program year. The City published a Notice of Funding Availability along with information on the neighborhood meetings in the Observer Dispatch, the City's official newspaper. The application window was open for four weeks.

Public Survey

For the first time as part of the Consolidated Plan or Annual Action Plan process, the City of Utica used an online survey to try to elicit public opinion. Utilizing the Survey Monkey platform, the City developed an eight question survey that garnered a total of 55 responses.

Final Opportunity for Comment

In accordance with its Citizen Participation Plan, the City of Utica published a legal notice in the official newspaper thirty days prior to submission of the Consolidated Plan/Annual Action Plan to HUD that provided a final opportunity for the public to review the draft Plan and to provide comment on the draft.

5. Summary of public comments

There were no public comments submitted pursuant to the legal notice published in the City's official newspaper ahead of the deadline for the City's submission of the Plan to HUD.

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

Not applicable

7. Summary

Following decades of disinvestment and population loss, the City of Utica has turned the corner economically. Once shunned by retail and residents alike, Downtown Utica is now on its way to becoming a neighborhood with vitality beyond the traditional Monday thru Friday, 9 AM to 5 PM hours. Properties that stood vacant and abandoned are becoming valuable again for the redevelopment potential.

Projects like the billion-dollar construction of a silicon carbide wafer plant in Marcy, a Utica suburb, the half a billion-dollar new integrated health care campus in downtown Utica and the \$42 million Nexus Center across the street from the new hospital all have the potential to forever change the skyline – and the landscape - of the City of Utica. The attached Consolidated Plan aims to prepare the City for this metamorphosis and to protect its low- and moderate-income residents from any gentrification that might occur as a result.

The Process

PR-05 Lead & Responsible Agencies 24 CFR 91.200(b)

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

The following are the agencies/entities 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

Utica’s Department of Urban and Economic Development (UED), in consultation with other City Departments, including Parks and Recreation, Engineering, Code Enforcement, and the Mayor’s Office are responsible for developing the 2020-2024 Consolidated Plan and 2020 Annual Action Plan and for administering CDBG, HOME and ESG grant activity and funding. UED is also responsible for developing the Consolidated Annual Evaluation Reports (CAPER), processing pay requests, performing contracting, and all oversight of the programs on a daily basis.

UED has a highly capable and experienced staff of eight (8) employees. Led by Commissioner Brian Thomas, who has nearly thirty years of local government experience in the Utica-Rome region working with federal entitlement funds, the Department has its own Finance Administrator, a Principal Planner, three specialists with one each in Economic Development, Housing and Community Development, a Secretary and a Senior Administrative Aide.

Consolidated Plan Public Contact Information

Questions or comments regarding the 2029-2024 Consolidated Plan or the 2020 Annual Action Plan should be directed to:

Brian Thomas, AICP - Commissioner of Urban & Economic Development

Phone: 315-792-0181

E-mail: bthomas@cityofutica.com

PR-10 Consultation – 91.100, 91.110, 91.200(b), 91.300(b), 91.215(I) and 91.315(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 and Five Year Consolidated 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 2019-2020 year, the City of Utica has 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 Community Foundation of Herkimer and Oneida Counties, The Lead-Free Mohawk Valley coalition, the Utica Housing Action Committee, and two certified CHDOs, all sharing the same goals. In 2019, Mayor Palmieri also established a task force aimed at monitoring the living conditions in multifamily rental housing for quality of life in response to landlords failing to provide safe, sustainable housing for their residents. In addition, the City and the United Way partnered with a variety of agencies to develop strategic plans of action should one of these buildings be shut down. In early 2019, the City and its partners received a HUD Lead-abatement grant of \$3.5million to treat and abate lead contamination in 180 housing units in the City of Utica constructed prior to 1978. As part of this grant, the City's Housing Development Specialist became an EPA-Certified Lead Supervisor to better assist with managing the complex regulations.

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.

The City of Utica works closely with the CoC to address the needs of homeless persons in our community. Through our rank and review process, the ranking committee of the Continuum board decided to fund the following programs which serve chronically homeless individuals and families, families with children, veterans, and unaccompanied youth:

City of Utica ESG FY2020 Awards were decided on Wednesday, March 18, 2020, and recipients will be notified following submission and approval of the Consolidated Plan.

Applicants Include:

- ICAN (Rapid Rehousing)
- Johnson Park Center (Shelter)
- Patty-Roy Foundation (Shelter)
- Rescue Mission of Utica (Shelter)
- Utica Municipal Housing Authority (Homeless Street Outreach / Rapid Rehousing)
- Utica Center for Development (Homelessness Prevention / Rapid Rehousing)
- YWCA Hall House (Shelter)

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

The City's process for making sub-awards was as follows:

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This year, the City released a Request for Proposals (RFP) in mid-January. Three public meetings for input from the community and potential ESG sub-recipients were held:

1. January 29th at the West Side Senior Center in West Utica
2. February 3rd at the Mount Carmel School Salerno Room in East Utica
3. February 12th at the UNHS Empowerment Center in Cornhill

Applications were due on February 21st. In all, we received nine (9) applications from 7 different agencies.

The following criteria were developed by the CoC steering committee:

Finance & Supporting Documents (15 Points)

- Displayed secure status of assets and lack of liabilities.
- Attached certificate of incorporation, mission in by-laws, organizational chart and IRS letter.
- Attached anticipated budget for the proposed activity.

Activity Proposal (25 Points)

- Provided a detailed description of the proposed activity.
- Articulated the need to be addressed by the activity.
- Effectively addressed the activity's contribution to community need identified in city's plan.
- Detailed the anticipated goals of the activity.
- Substantiated the reasons for supporting continued funding.

Organizational Information (35 Points)

- Described a plan to ensure sustainability.
- Cited relevant personnel.
- Provided a list of board members.
- Identified possible conflicts of interest.
- Communicated ability and qualifications to implement activity.
- Described actions to be taken if funding falls through.

Community Partnerships & Program Integration (25 Points)

- Agency was able to indicate they are an active member of the MVHHAC/CoC.
- Indicated length and frequency of involvement in CoC.
- Explained the relevance of the proposal to ESG objectives and CoC priorities.
- Articulate the relevance of the proposal to existing HUD CoC programs.

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Several members of the CoC board ranks each of the applications separately, and then meets to compare & discuss their scores. Members involved are Steve Darman - MV Housing and Homeless Coalition, Michael Peek - City of Utica, the HUD Collaborative Applicant Representative (Robin Robinson or Betty Joan Beaudry from United Way of the Valley and Greater Utica), and up to two additional members of the CoC who are familiar with homeless assistance, programs and providers who are not applying for any ESG funds themselves (to eliminate any potential conflict of interest).

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

Table 2 – Agencies, groups, organizations who participated

1	Agency/Group/Organization	United Way of the Valley and Greater Utica Area
	Agency/Group/Organization Type	Planning organization Foundation
	What section of the Plan was addressed by Consultation?	Homelessness Strategy Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	Robin Robinson of the United Way was one of four continuum of care members to assist in developing new rank and review criteria as well as to score ESG applications received by the City of Utica.
2	Agency/Group/Organization	Peter Maurin House, Inc. dba Hope House
	Agency/Group/Organization Type	Services-homeless
	What section of the Plan was addressed by Consultation?	Homelessness Strategy Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	Tom Labayewski of the Hope House is typically one of four continuum of care members to assist in developing new rank and review criteria as well as to score ESG applications received by the City of Utica, though he was unavailable for work on the 2020-2021 scoring committee.
3	Agency/Group/Organization	Social Science Associates
	Agency/Group/Organization Type	Planning organization
	What section of the Plan was addressed by Consultation?	Homelessness Strategy Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth

	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	Steve Darman of Social Science Associates was one of four continuum of care members to assist in developing new rank and review criteria as well as to score ESG applications received by the City of Utica.
4	Agency/Group/Organization	City of Utica
	Agency/Group/Organization Type	Other government - Local
	What section of the Plan was addressed by Consultation?	Homelessness Strategy Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	Michael Peek of the City of Utica Department of Urban and Economic Development, was one of four continuum of care members to assist in scoring ESG applications received by the City of Utica.
5	Agency/Group/Organization	ONEIDA COUNTY
	Agency/Group/Organization Type	Other government - County
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Lead-based Paint Strategy Non-Homeless Special Needs Market Analysis
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
6	Agency/Group/Organization	Utica Municipal Housing Authority
	Agency/Group/Organization Type	Housing PHA Services - Housing
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Public Housing Needs Non-Homeless Special Needs Market Analysis Anti-poverty Strategy

	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted at length with regard to the needs of public housing, they were part of the housing roundtable for the 2015 community needs assessment and they were regularly consulted during the writing of the Consolidated Plan. The staff of the Utica Municipal Housing Authority has annually provided the staff of the City Department of Urban & Economic Development with a copy of their annual plan for to incorporate as necessary into the City's Annual Action Plan. The data provided for the 2020 Annual Action Plan was provided by the UMHA in early 2020.
7	Agency/Group/Organization	PARKWAY SENIOR CENTER
	Agency/Group/Organization Type	Services-Elderly Persons Services-Health
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted with regard to the needs of the elderly as part of the Consolidated Plan.
8	Agency/Group/Organization	JOHNSON PARK CENTER
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Victims of Domestic Violence Services-homeless Services - Victims
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homelessness Strategy Homeless Needs - Chronically homeless Homeless Needs - Families with children Non-Homeless Special Needs Anti-poverty Strategy

	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted as part of the the CDBG Application Process
9	Agency/Group/Organization	UNHS NeighborWorks Homeownership Center
	Agency/Group/Organization Type	Housing Services - Housing
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Lead-based Paint Strategy Non-Homeless Special Needs Market Analysis Anti-poverty Strategy
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted as part of the CDBG Application Process and the HOME Program Allocations.

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

No agency was knowingly not consulted.

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

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	Utica/Rome/Oneida/Madison Continuum of Care	The Homelessness related goals were developed in consultation with the CoC and are clearly in line with each other with regard to the need for services and assistance for homeless persons

Table 3 – Other local / regional / federal planning efforts

Describe cooperation and coordination with other public entities, including the State and any adjacent units of general local government, in the implementation of the Consolidated Plan (91.215(l))

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The Mohawk Valley Housing & Homeless Coalition annually provides input and recommendations into the manner by which the City Emergency Solutions Grant should be allocated to the various service/housing providers. The scoring committee for the 2020-2021 Program Year included the Mohawk Valley Housing and Homeless Coalition Chair, the City of Utica's Housing Development Specialist, a member of the Oneida County Department of Social Services, and a Continuum of Care board member that is not receiving ESG funding and is familiar with homeless assistance needs and programs.

Narrative (optional):

PR-15 Citizen Participation – 91.105, 91.115, 91.200(c) and 91.300(c)

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

Citizens are invited to submit public comments in response to publication of meeting announcements, funding amounts and City goals. As part of the annual process, several meetings are held within the CDBG target neighborhoods to announce the availability of funds, solicit resident concerns for how the funds should be spent, and discuss the needs of those target areas and other City neighborhoods. Based on public response, areas of focus may be given additional attention when setting and better focusing goals.

For the ESG-CV Substantial Amendment, the City posted a notice to the City's website nearly 1 full week ahead of submission of the Amendment to HUD through IDIS. The notice, attached as an appendix to this Consolidated Plan, detailed the City's consultation process, the various activities proposed for funding and the amount of funding allocated to each activity.

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	Public Meeting	Non-targeted/broad community	3 meetings held in various neighborhoods throughout the City; attendance varied depending on location/schedule	Comments focused on possible priorities for federal funding; infrastructure and job creation topped the list	No comments discarded; all comments welcomed	

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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	Posting of Substantial Amendment notice to City webpage	Non-targeted/broad community	While the CARES Act did not require public comment for ESG-CV funds, the notice posted to the City's website did provide an e-mail address for anyone wishing to make a comment. To date, no comments have been received.	None	Not applicable	www.cityofutica.com

Table 4 – Citizen Participation Outreach

Needs Assessment

NA-05 Overview

Needs Assessment Overview

The City of Utica is currently partnered with the City of Rome and contracting with Western Economic Services, LLC to conduct an Analysis of Impediments to Fair Housing Choice to provide data for the 2020-2024 Consolidated Plan. Data that will be included in the subsequent NA sections will be input at the time in which the analysis is completed. The description below, taken from the 2015-2019 Consolidated Plan, is likely to closely match the expected overview for this 2020-2024 Consolidated Plan.

Using Comprehensive Housing Affordability Strategy (CHAS) and American Community Survey (ACS) data provided by HUD, the City created a framework and proposed projects to be funded by entitlement grant funds. Additionally need considerations and concerns were developed from the comments and discussion derived from the City's general community and youth surveys, the Mayor's Sweeps and public hearings.

In terms of housing, affordability was the primary need identified. Although ACS and CHAS data does not recognize a significant need with regard to substandard housing, both data sources identified substandard as lacking complete plumbing and/or kitchen facilities. While most housing units within the City do contain complete plumbing and kitchen facilities, many are facing structural deterioration and aging essential facilities (electrical, plumbing, and heating facilities), problems which decrease both the safety and affordability of the housing units. This corresponds with the need for additional and upgraded public housing units.

With regard to the needs associated with homelessness, a need for increased transitional housing to aid in moving sheltered homeless persons into housing and continue to decrease in the number of unsheltered persons. Additionally, the primary cause of homelessness within the community is the housing cost burden creating a need to decrease the cost associated with housing for homelessness prevention.

With regard to special needs, the City has identified needs amongst all special needs across all special needs populations for supportive housing, job training, education access and social service access. These needs are being taken into consideration when approving new projects using CDBG or HOME dollars.

With regard to non-housing community the City has identified that there is minimal need for improvements to public facilities, substantial need for public improvements (particularly streets, sidewalks and sewer systems) and a need to encourage consolidation of public services.

NA-10 Housing Needs Assessment - 24 CFR 91.205 (a,b,c)

Summary of Housing Needs

The data in the fields below is sourced from the American Community Survey 2011-2015 and has been provided for use in this Consolidated Plan by HUD.

Demographics	Base Year: 2009	Most Recent Year: 2015	% Change
Population	62,235	61,630	-1%
Households	24,181	23,620	-2%
Median Income	\$31,090.00	\$30,504.00	-2%

Table 5 - Housing Needs Assessment Demographics

Data Source: 2005-2009 ACS (Base Year), 2011-2015 ACS (Most Recent Year)

Number of Households Table

	0-30% HAMFI	>30-50% HAMFI	>50-80% HAMFI	>80-100% HAMFI	>100% HAMFI
Total Households	5,830	4,270	4,350	2,160	7,015
Small Family Households	2,050	1,430	1,330	870	3,115
Large Family Households	515	475	425	220	480
Household contains at least one person 62-74 years of age	950	730	810	450	1,700
Household contains at least one person age 75 or older	635	765	765	320	660
Households with one or more children 6 years old or younger	1,370	850	615	380	525

Table 6 - Total Households Table

Data Source: 2011-2015 CHAS

Housing Needs Summary Tables

1. Housing Problems (Households with one of the listed needs)

	Renter					Owner				
	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total
NUMBER OF HOUSEHOLDS										
Substandard Housing - Lacking complete plumbing or kitchen facilities	50	30	20	0	100	15	0	4	10	29
Severely Overcrowded - With >1.51 people per room (and complete kitchen and plumbing)	35	30	35	25	125	4	15	4	0	23
Overcrowded - With 1.01-1.5 people per room (and none of the above problems)	125	130	30	15	300	0	15	20	10	45
Housing cost burden greater than 50% of income (and none of the above problems)	2,870	605	85	4	3,564	585	285	95	40	1,005

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	Renter					Owner				
	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total
Housing cost burden greater than 30% of income (and none of the above problems)	620	1,340	590	75	2,625	190	430	590	145	1,355
Zero/negative Income (and none of the above problems)	330	0	0	0	330	75	0	0	0	75

Table 7 – Housing Problems Table

Data 2011-2015 CHAS
Source:

2. Housing Problems 2 (Households with one or more Severe Housing Problems: Lacks kitchen or complete plumbing, severe overcrowding, severe cost burden)

	Renter					Owner				
	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total
NUMBER OF HOUSEHOLDS										
Having 1 or more of four housing problems	3,085	795	170	45	4,095	610	315	120	60	1,105
Having none of four housing problems	1,440	2,110	2,090	925	6,565	290	1,055	1,975	1,125	4,445
Household has negative income, but none of the other housing problems	330	0	0	0	330	75	0	0	0	75

Table 8 – Housing Problems 2

Data 2011-2015 CHAS
Source:

Demo

3. Cost Burden > 30%

	Renter				Owner			
	0-30% AMI	>30-50% AMI	>50-80% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	Total
NUMBER OF HOUSEHOLDS								
Small Related	1,590	885	275	2,750	140	165	305	610
Large Related	340	230	55	625	74	75	50	199
Elderly	645	330	105	1,080	370	395	215	980
Other	1,085	610	255	1,950	200	85	120	405
Total need by income	3,660	2,055	690	6,405	784	720	690	2,194

Table 9 – Cost Burden > 30%

Data 2011-2015 CHAS
Source:

4. Cost Burden > 50%

	Renter				Owner			
	0-30% AMI	>30-50% AMI	>50-80% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	Total
NUMBER OF HOUSEHOLDS								
Small Related	1,370	325	30	1,725	120	65	25	210
Large Related	320	50	0	370	70	30	15	115
Elderly	420	130	20	570	245	120	45	410
Other	905	135	30	1,070	160	70	15	245
Total need by income	3,015	640	80	3,735	595	285	100	980

Table 10 – Cost Burden > 50%

Data 2011-2015 CHAS
Source:

5. Crowding (More than one person per room)

	Renter					Owner				
	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total
NUMBER OF HOUSEHOLDS										
Single family households	130	135	55	15	335	8	30	24	10	72

Demo

	Renter					Owner				
	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total
Multiple, unrelated family households	30	14	10	25	79	0	0	0	0	0
Other, non-family households	0	10	0	0	10	0	0	0	0	0
Total need by income	160	159	65	40	424	8	30	24	10	72

Table 11 – Crowding Information – 1/2

Data Source: 2011-2015 CHAS

	Renter				Owner			
	0-30% AMI	>30-50% AMI	>50-80% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	Total
Households with Children Present	0	0	0	0	0	0	0	0

Table 12 – Crowding Information – 2/2

Data Source
Comments:

Describe the number and type of single person households in need of housing assistance.

2011-2015 ACS data suggests that the City of Utica has a population of 61,630 people creating 23,620 households. Of these 23,620 households, 8,625 are single person households. Approximately 48% of these single person households are comprised of adults between the ages of 35 and 64, 40% are elderly individuals 65 or older and only 12% are young adults between the ages of 15 and 34. Furthermore, approximately 63% of the single person households are comprised by individuals who are unemployed, retired or otherwise not in the workforce and the median income for a single person household within the City is approximately \$20,877.00 indicating that the vast majority of single person households are living on limited to no income. Additionally, 37% of the individuals living in a single person household do not have a vehicle.

Looking at the types of housing those single person households occupy, the vast majority of renters (61%), with the remaining 39% being homeowners. Turning just to the single person households that rent, the vast majority (49%) live in 2-4 unit structures, with only 6% living in single unit structures, 5% in structures containing between 20-49 units, 19% in small apartment buildings containing 5-19 units and 20% in large apartment buildings containing 50 or more units. In contrast, single person households living in homes they own are predominately living in single unit detached structures (76%) or 2-4 unit structures (21%).

In analyzing this data, it is clear that single person households within the City of Utica are more likely to be non-working households with larger households showing approximately 3,000 -4000 fewer non-working households. Additionally, single person households have lower incomes and increased cost burdens with regard to housing and are more likely to be households without vehicles. Further, a significant portion of the single person households are elderly individuals. In fact, ACS data demonstrates that just over half of the elderly population within the City is living in single person households.

This data indicates a number of significant issues with regard to the housing needs of the single person household population. Given that the vast majority of these single person households, both renters and owners, are living in smaller structures between 1-4 units (approximately 71%) and the fact that the cost burden is substantially higher for single person households, it is important that housing units be affordable, both from a rental and purchase standpoint and with regard to heating costs, repairs, and overall sustainability. Furthermore, with only 6% of the housing stock within the City of Utica being built after 1970, and 52% of the housing stock having been built prior to 1939, the need to ensure that homes are safe, affordable structures, especially for the 35% of the population that are classified as single person households and are therefore more likely to have a higher cost burden. Therefore, there is a substantial need to ensure that homes which are deteriorating are dilapidated be rehabilitated or replaced. Finally, it is equally important, given that over 3,000 individuals are not only living on their own, but are also without a vehicle, that housing is available near public transportation and essential services, including access to affordable, healthy food.

Estimate the number and type of families in need of housing assistance who are disabled or victims of domestic violence, dating violence, sexual assault and stalking.

Victims of Domestic Violence or Sexual Assault: The YWCA of the Mohawk Valley provides the most comprehensive domestic violence services to domestic violence victims and their children in the City of Utica. According to their reports, they answered 2,462 calls for help from DV victims on their 24-hour hotline last year. Approximately 50% of these calls originating from the City of Utica. Using this to develop the most conservative estimate, approximately 1,231 residents of the jurisdiction were victims of domestic violence, dating violence, sexual assault and stalking. And they served 60 women and 46 children in their ESG-funded Domestic Violence shelter located in Utica, and 12 adult Domestic Violence victims and 12 children in their CoC-funded Utica-based transitional housing program for DV victims and their children. However, given that approximately 1,231 residents of the jurisdiction were victims last year, only 18% (224) sought and received housing assistance. It is likely that at least half actually needed housing assistance, but did not seek it.

Disabled Persons: Approximately 11,000 individuals within the City of Utica are disabled and approximately 90% of the disabled populations are adults over the age of 18. Of that 90%, approximately 1/3 of the population is working and another 1/3 of the population is living below the

poverty rate. Furthermore, approximately 4,300 persons are receiving food stamps or SNAP benefits, Basing the estimation off the these statistics, it is likely that there are at least 4,000 individuals with disabilities in need of housing assistance.

What are the most common housing problems?

With regard to the four housing problems identified by the Housing Problems table above, the most significant housing problem within the City of Utica is the cost burden faced by low/moderate income individuals. 75% of the population of the City of Utica has an annual income that is at or below the area median income. Of that 75%, 10% have a housing cost burden that is greater than 50% of their income and another 19% have a housing cost burden that is greater than 30% of their income. This high cost burden for the low/moderate income households within the City of Utica makes it far more difficult for individuals to maintain safe, affordable homes without sacrificing other essential needs. While the City of Utica is considered to be relatively affordable for individuals and families with incomes at or above the area median income, the aforementioned statistics demonstrate that three quarters of the population of the City of Utica is living on less the area median income and is struggling with high cost burdens in relation to their household income. This is problematic for a number of reasons. First of all, high housing cost burdens are a contributing factor for homelessness. Additionally, individuals and families with high cost burdens are often unable to maintain their household, make essential repairs, and/or engage in necessary upkeep due to the limitation on their expenses. Finally, from a socio-economic perspective, individuals with high cost burdens are under more stress, less able to obtain healthy, natural foods, are less productive, and have more difficulty maintaining a stable household.

The issue of substandard housing, as defined in the table of housing problems above, demonstrates that the vast majority of low/moderate households are not living in “substandard housing”; however the table defines substandard conditions as units lacking complete plumbing or kitchen facilities. While the majority of the homes do contain kitchen and plumbing facilities, many of the homes, especially those within census tracts predominately populated by low/moderate income families, are significantly dilapidated, demonstrate clear structural deficiencies, and/or have outdated or insufficient heating, plumbing, and/or electrical conditions. This is largely due to the fact that over half of the housing units within the City of Utica were built prior to 1939 and approximately 93% of the housing units were built prior to 1979. In addition to this contributing to lead-based paint issues, an issue which will be discussed below, and the age of the housing stock also means that many homes require significant and substantial rehabilitation in order to be safe, affordable and code compliant.

Are any populations/household types more affected than others by these problems?

With regard to housing cost burdens, as expected low/moderate income families are substantially more likely to have a high cost burden than households earning higher incomes. 62% of all households earning less than 30% area medium income have a housing cost burden that exceed 50% of their household income and another 76% have cost burdens that exceed 30% of the household income. When you begin looking at the characteristics associated with the 0-30% area median income bracket, you discover that

Demo

60% of the population reporting a high cost burden are renters, 23% of the total households for the income bracket contain a child under the age of 6 years old and 16% contain at least one person over the age of 62.

For households earning between 30-50% area medium incomes, approximately 22% of the households have a cost burden greater than 50% of their annual household income and 65% have a cost burden greater than 30% of their income. Looking at the breakdown of this income bracket, 17% have at least one individual over the age of 62 and 20% have a child under the age of 6. Additionally, approximately 46% of the households reporting a high cost burden in this income bracket are renters.

Households earning 50-80% of area medium income are in a better position with regard to cost burden with only 2% reporting a housing cost burden that exceed 50% of their income. However, 32% of this income bracket does report having a cost burden in excess of 30% of their household income, with the same percentage of those reporting being homeowners as do renters. 19% of the total income bracket is made up by households with individuals over the age of 62 and 14% of the income bracket are households with children under the age of 6.

In previously reported data, minority populations made up 39% of the households reporting to have a cost burden greater than 50% and 22% report having a cost burden greater than 30% of their annual income. Taken together, almost two thirds of the minority populations identified by the ACS survey data are struggling with high cost burdens.

When looking at the suitability of the housing stock and the age of properties in low/moderate income census tracts it is clear that the housing is predominately older, indicating that low/moderate income residences are far more likely to encounter the problems associated with aging homes. There are 19 low/moderate income census tracts within the City of Utica. Looking just at rental housing, four tracts have 80% or more of their housing built prior to 1949 and 10 tracts have 52-80% of their housing built before 1949, When looking at housing built prior to 1980, seventeen of the nineteen tracts have 8-% or more of their housing built prior to 1980 and one has 52-80% of their housing built prior to 1980. Only one low/moderate income tracts has less than 15% of their housing built prior to 1980 and that is likely do to the presence of Utica College, a four year private educational institution, within that tract. Knowing that the low/moderate income census tracts are more afflicted with the problem of an aging and deteriorating housing stock also demonstrates, based on the American Community Survey Data discussed within, that the populations afflicted with this problem are also likely to be elderly, have young children, and/or be minority populations.

Describe the characteristics and needs of Low-income individuals and families with children (especially extremely low-income) who are currently housed but are at imminent risk of either residing in shelters or becoming unsheltered 91.205(c)/91.305(c)). Also discuss the needs of formerly homeless families and individuals who are receiving rapid re-housing assistance and are nearing the termination of that assistance

According to the Utica-Rome-Oneida-Madison Continuum of Care, Low-income and extremely low income individuals and families with children who are currently housed but at imminent risk of either sheltered or unsheltered homelessness are most often younger (head of household is under 40 years old). They are struggling to gain a foothold on our local labor market and often have a poor work history, and low levels of education. They need extremely affordable housing units and often need supportive housing (rent subsidies coupled with case management and other services) and they need access to channels of opportunity that include GED classes, vocational training, and job preparation and job placement assistance.

If a jurisdiction provides estimates of the at-risk population(s), it should also include a description of the operational definition of the at-risk group and the methodology used to generate the estimates:

No estimate of at-risk populations provided.

Specify particular housing characteristics that have been linked with instability and an increased risk of homelessness

According to the Utica-Rome-Oneida-Madison Continuum of Care specific housing characteristics associated with homeless in Utica include high housing cost burdens and the effect that age and condition of the City of Utica Housing Stock has on the ability of a household to maintain a home.

As discussed above, the households within the City of Utica are significantly cost burdened. This is so especially with those households renting rather than owning. Utica residents, on average, pay 39% of their household income for rent- the highest percentage on our region (nearby Rome resident pay 32% and the Oneida County average is 27%). The effect of high housing cost burdens become especially concerning when analyzed in relation to income level. For households earning between 30-50% area medium incomes, approximately 22% of the households have a cost burden greater than 50% of their annual household income and 65% have a cost burden greater than 30% of their income. Looking at the breakdown of this income bracket, 16% have at least one individual over the age of 62 and 23% have a child under the age of 6. Additionally, approximately 60% of the households reporting a high cost burden in this income bracket are renters.

The lowest income households in our city – and those who are most likely to be unstable or to fall into homelessness- live in our poorest neighborhoods in the central city areas where the oldest housing stock in need of maintenance, repair, and renovation is located. Many more families have doubled or even tripled up in recent years to remain housed. Those who become homeless and seek housing for less than \$360/month (the total public assistance subsidy for single persons) are often only able to obtain a single room with shared bath and kitchen in buildings that were built before 1950 and which are in dire need of repair or renovation. Individuals living in this shared apartment (with only their own room) are at a very high risk of repeat homelessness.

Discussion

NA-15 Disproportionately Greater Need: Housing Problems – 91.205 (b)(2)

Assess the need of any racial or ethnic group that has disproportionately greater need in comparison to the needs of that category of need as a whole.

Introduction

HUD defines a disproportionately greater housing need as when a racial or ethnic group experiences housing problems at a rate at least 10 percentage points greater than that of the corresponding income level as a whole. The data table below summarizes the percentage of each racial/ethnic group experiencing housing problems by HUD Area Median Income (AMI) levels. There are four housing conditions analyzed when determining whether or not a household is experiencing a housing problem: (1) Housing Unit lacks complete kitchen facilities; (2) Housing Unit lacks complete plumbing facilities; (3) Overcrowding exists within the housing unit (more than one person per room); and/or (4) Cost burden is greater than 30% of the household income.

In analyzing the households present within the community, as defined by the American Community Survey, it is apparent that households identifying as American Indian/Alaska Native and Pacific Islander do not make up a significant portion of the community population (0.46% and 0.02% of the jurisdiction respectively). Due to the low percentage of these communities within the jurisdictions, the margins of error associated with the estimates available are extremely high. Therefore, these populations have not been included in the analysis. It should also be noted that non-White groups have a smaller sample sizes and data on these groups have a higher margin of error.

0%-30% of Area Median Income

Housing Problems	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	4,500	925	405
White	2,255	565	185
Black / African American	930	90	105
Asian	445	45	15
American Indian, Alaska Native	24	4	10
Pacific Islander	4	0	0
Hispanic	645	179	55

Table 13 - Disproportionally Greater Need 0 - 30% AMI

Data Source: 2011-2015 CHAS

*The four housing problems are:

1. Lacks complete kitchen facilities,
2. Lacks complete plumbing facilities,
3. More than one person per room,
4. Cost Burden greater than 30%

30%-50% of Area Median Income

Housing Problems	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	2,880	1,395	0
White	1,665	895	0
Black / African American	530	165	0
Asian	180	120	0
American Indian, Alaska Native	4	4	0
Pacific Islander	0	0	0
Hispanic	425	160	0

Table 14 - Disproportionally Greater Need 30 - 50% AMI

Data 2011-2015 CHAS
Source:

*The four housing problems are:

1. Lacks complete kitchen facilities, 2. Lacks complete plumbing facilities, 3. More than one person per room, 4. Cost Burden greater than 30%

50%-80% of Area Median Income

Housing Problems	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	1,465	2,885	0
White	965	2,215	0
Black / African American	225	345	0
Asian	160	95	0
American Indian, Alaska Native	15	14	0
Pacific Islander	0	0	0
Hispanic	60	195	0

Table 15 - Disproportionally Greater Need 50 - 80% AMI

Data 2011-2015 CHAS
Source:

*The four housing problems are:

1. Lacks complete kitchen facilities, 2. Lacks complete plumbing facilities, 3. More than one person per room, 4. Cost Burden greater than 30%

80%-100% of Area Median Income

Housing Problems	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	325	1,830	0
White	205	1,390	0
Black / African American	35	190	0
Asian	45	185	0
American Indian, Alaska Native	0	0	0
Pacific Islander	0	0	0
Hispanic	24	40	0

Table 16 - Disproportionally Greater Need 80 - 100% AMI

Data 2011-2015 CHAS
Source:

*The four housing problems are:

1. Lacks complete kitchen facilities,
2. Lacks complete plumbing facilities,
3. More than one person per room,
4. Cost Burden greater than 30%

Discussion

In general, the percentage of households experiencing housing problems is highest for the lowest income bracket (0-30% AMI) and decreases as income increases. In the 0-30% AMI category, Black/African American and Hispanic households are more likely to experience a housing problem. In the 30-50% AMI category, Black/African American, Asian and Hispanic households are all more likely than white households to experience a housing problem. In the 50-80% AMI category, Hispanic households are the most likely to experience a housing problem. In the City of Utica, housing problems occurring at a disproportionate degree are experienced as follows.

- Black/African American households earning 0-30% AMI
- Black/African American households earning 30-50% AMI
- Asian households earning 30-50% AMI
- Hispanic households earning 0-30% AMI
- Hispanic households earning 30-50% AMI
- Hispanic households earning 50-80% AMI

It is worth noting that while Asian households earning between 0-30% AMI do not meet the definition of a disproportionate, they are nearing disproportionate need demonstrating a likelihood of housing problems at a rate that is higher than that of white households.

NA-20 Disproportionately Greater Need: Severe Housing Problems – 91.205 (b)(2)

Assess the need of any racial or ethnic group that has disproportionately greater need in comparison to the needs of that category of need as a whole.

Introduction

HUD defines a disproportionately greater housing need as when a racial or ethnic group experiences housing problems at a rate at least 10 percentage points greater than that of the corresponding income level as a whole. The data table below summarizes the percentage of each racial/ethnic group experiencing severe housing problems by HUD Area Median Income (AMI) levels. There are four housing conditions analyzed when determining whether or not a household is experiencing a housing problem: Housing Unit lacks complete kitchen facilities; Housing Unit lacks complete plumbing facilities; Severe Overcrowding exists within the housing unit (more than 1.5 person per room); and/or Cost burden is greater than 50% of the household income.

It should be noted, that non-White groups have very small sample sizes and data on these groups are therefore more prone to error. Within the jurisdiction as a whole, White households represent approximately 52% of the jurisdiction, significantly influencing the overall trend. Additionally, Households identifying as American Indian/Alaskan Native or Pacific Islander make up a very small portion of the population (.46% and .02% respectively) and, due to the margin of error, have not been analyzed within.

0%-30% of Area Median Income

Severe Housing Problems*	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	3,695	1,730	405
White	1,800	1,020	185
Black / African American	755	265	105
Asian	340	150	15
American Indian, Alaska Native	14	15	10
Pacific Islander	4	0	0
Hispanic	590	240	55

Table 17 – Severe Housing Problems 0 - 30% AMI

Data 2011-2015 CHAS
Source:

*The four severe housing problems are:

1. Lacks complete kitchen facilities,
2. Lacks complete plumbing facilities,
3. More than 1.5 persons per room,
4. Cost Burden over 50%

30%-50% of Area Median Income

Severe Housing Problems*	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	1,110	3,165	0
White	600	1,960	0
Black / African American	245	450	0
Asian	80	220	0
American Indian, Alaska Native	0	4	0
Pacific Islander	0	0	0
Hispanic	150	440	0

Table 18 – Severe Housing Problems 30 - 50% AMI

Data 2011-2015 CHAS
Source:

*The four severe housing problems are:

1. Lacks complete kitchen facilities, 2. Lacks complete plumbing facilities, 3. More than 1.5 persons per room, 4. Cost Burden over 50%

50%-80% of Area Median Income

Severe Housing Problems*	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	290	4,065	0
White	165	3,015	0
Black / African American	45	525	0
Asian	50	205	0
American Indian, Alaska Native	15	19	0
Pacific Islander	0	0	0
Hispanic	15	240	0

Table 19 – Severe Housing Problems 50 - 80% AMI

Data 2011-2015 CHAS
Source:

*The four severe housing problems are:

1. Lacks complete kitchen facilities, 2. Lacks complete plumbing facilities, 3. More than 1.5 persons per room, 4. Cost Burden over 50%

80%-100% of Area Median Income

Severe Housing Problems*	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	105	2,050	0
White	40	1,550	0
Black / African American	0	225	0
Asian	30	200	0
American Indian, Alaska Native	0	0	0
Pacific Islander	0	0	0
Hispanic	20	45	0

Table 20 – Severe Housing Problems 80 - 100% AMI

Data 2011-2015 CHAS
Source:

*The four severe housing problems are:

1. Lacks complete kitchen facilities, 2. Lacks complete plumbing facilities, 3. More than 1.5 persons per room, 4. Cost Burden over 50%

Discussion

In general, the percentage of households experiencing severe housing problems is highest for the lowest income bracket (0-30% AMI) and decreases as income increases. In the 0-30% AMI category, Black/African American and Hispanic households are more likely to experience a severe housing problem. While Asian Households don't meet the HUD definition for disproportionate need, they are close, having a need that is 9% points greater than White households. In the 30-50% AMI category, Black/African American and Asian households are all more likely than white households to experience a severe housing problem. In the 50-80% AMI category, Black/African households are the most likely to experience a severe housing problem and in the 80-100% AMI category Asian households are most likely to experience a severe housing problem.

In the City of Utica, severe housing problems occurring at a disproportionate degree are experienced as follows.

- Black/African American households earning 0-30% AMI
- Black/African American households earning 30-50% AMI
- Black/African American households earning 50-80% AMI
- Asian households earning 30-50% AMI

Demo

- Asian households earning 80-100% AMI
- Hispanic households earning 0-30% AMI
- Hispanic households earning 30-50% AMI

Additionally, the following account for demographics severe housing problems occurring at a nearing disproportionate degree are experienced as follows:

- Asian households earning 0-30% AMI

NA-25 Disproportionately Greater Need: Housing Cost Burdens – 91.205 (b)(2)

Assess the need of any racial or ethnic group that has disproportionately greater need in comparison to the needs of that category of need as a whole.

Introduction:

HUD defines a disproportionately greater housing need as when a racial or ethnic group experiences housing problems at a rate at least 10 percentage points greater than that of the corresponding income level as a whole. The data table below summarizes the percentage of each racial/ethnic group experiencing housing problems by HUD Area Median Income (AMI) levels. Cost burdened is defined as paying 30-50% of the household income on housing and severely cost burdened is defined as paying greater than 50% of the household income on housing.

In analyzing the households present within the community, as defined by the American Community Survey, it is apparent that households identifying as American Indian/Alaska Native and Pacific Islander do not make up a significant portion of the community population (0.33% and 0.02% of the jurisdiction, respectively). As a result of the low percentage of these communities within the overall jurisdictions, the margins of error associated with the estimates available are extremely high. Therefore, these populations have not been included in the following analysis. It also should be noted that non-White groups have very small sample sizes and data on these groups are therefore more prone to error. Within the jurisdiction as a whole, White households represent approximately 70% of the jurisdiction, significantly influencing the overall trend.

Housing Cost Burden

Housing Cost Burden	<=30%	30-50%	>50%	No / negative income (not computed)
Jurisdiction as a whole	14,045	4,320	4,825	425
White	11,070	2,680	2,500	195
Black / African American	1,265	690	975	105
Asian	705	390	375	15
American Indian, Alaska Native	24	15	29	10
Pacific Islander	0	0	4	0
Hispanic	770	450	725	55

Table 21 – Greater Need: Housing Cost Burdens AMI

Data Source: 2011-2015 CHAS

Discussion:

Demo

According to the above definitions, Hispanic households are the most likely to be cost burdened, experiencing a 12-14% greater degree of cost burden than the other racial and ethnic groups analyzed. Hispanic households also experience a greater degree of severe cost burden than white households, with a percentage rate that is 14 percentage points higher than white households. However, Asian and Black/Africa American households have a significantly higher rate of severe cost burden. Both Asian and Black/African American households are experiencing severe cost burden at a rate that is 31 percentage points higher than white households and 17 percentage points higher than Hispanic households.

An extremely important note is that all three non-white race/ethnic groups analyzed herein are experiencing high or severe cost burden at a rate that is significantly higher than White households. Black/African American and Asian households are experiencing a cost burden that is 29 percentage points higher than White households. Hispanic households are experiencing a cost burden that is 25 percentage points higher than White households.

NA-30 Disproportionately Greater Need: Discussion – 91.205(b)(2)

Are there any income categories in which a racial or ethnic group has disproportionately greater need than the needs of that income category as a whole?

Based upon the analysis above, disproportionate need generally increases as the amount of household income present decreases. With regard to the existence of housing problems, Hispanic households and Black/African American Households both demonstrate a disproportionate need in the 0-30% and 30-50% AMI categories. While Asian households are not technically demonstrating disproportionate need in the 0-30% AMI category, they are bordering on disproportionate need. Asians do demonstrate a disproportionate need in the 30-50% AMI category, along with Black/African American and Hispanic households. Additionally, Hispanic households also demonstrate a disproportionate need within the 50-80% AMI category, but demonstrate the lowest percentage of need in the 80-100% AMI category. With Hispanic, Black/African American, and Asian households alike, the percentage of need is relatively consistent for households categorized as 0-30% AMI and 30-50% AMI, and substantially decreases for the 50-80% and 80-100% AMI categories.

In looking at disproportionate need as it relates to severe housing problems, the degree of disproportionate need exponentially decreases as income increase, with Black/African American, Asian, and Hispanic households all demonstrating significant need (ranging from 79% -85%) at a disproportionate degree in the 0-30% AMI category. In the 30-50% AMI category, Asian and Black/African American households continue to demonstrate a substantial need at a disproportionate degree. In the 50%-80% AMI category, Black/African American households continue to demonstrate a disproportionate degree of need. The only anomaly that occurs within the exponential decrease is within the 80-100% AMI category in which Asian households increase from a 0% need to a 25% need, indicating a disproportionate need amongst Asians within that income category.

If they have needs not identified above, what are those needs?

The most significant need, as identified in section NA-10 above as well in the analysis of disproportionate need, is the need created by cost burdened and severely cost burdened households. Lack of complete kitchen/plumbing facilities did not demonstrate a significant housing problem within the section NA-10 analysis, however it is known from community surveys, complaints from residents, and various community outreach efforts that while housing is relatively complete with regard to kitchen and plumbing facilities, there are significant deficiencies within the housing structures due in part to maintenance problems and in part to the age of the housing stock. Overcrowding does not appear to be a significant issue within the jurisdiction.

Are any of those racial or ethnic groups located in specific areas or neighborhoods in your community?

Demo

As the census tracts maps illustrate, while Black/African American, Asian, and Hispanic populations are located to some degree throughout the boundaries of the jurisdiction, Black/African American and Asian households are most prevalent within the centrally located Cornhill neighborhood.

Black/African American households have the largest concentration within the most centrally located census tract within Cornhill, CT# 021500 in which 32.4%-47.2% of the households identify as Black/African American. CT# 026400 and CT# 021201 are also located within the Cornhill neighborhood and have 19.7%-33.6% of the households identifying as Black/African American. CT# 021101 is located in the western portion of the Downtown District and also has 7.72%-26.32% of the households identifying as Black/African American.

Asian households are most concentrated in the eastern portion of the Cornhill neighborhood with CT# 021202 reporting the largest concentration (23.2%-42.2%) of Asian households. CT# 021500 and CT# 026400, both located in the more central and western portions of Cornhill, report the next largest concentration of Asian households (12.7%-38.6%). Also reporting a concentration of Asian households between 5.9% and 29.7% is CT# 021102 which is located in the neighborhood bordered by Route 5/8/12 on the West, Burrstone Rd on the South, Noyes St on the North and Genesee St on the West.

Hispanic households are fairly consistently located throughout the City of Utica's low/moderate income census tracts, with most census tracts reporting between 6.3% and 27.3% of the households identifying as Hispanic. The exception is CT# 02083, which is located in the Lower East Utica section of the jurisdiction and reports Hispanic populations making up between 19.5% and 35.1% of the households within the census tract.

Outside of the census tracts that have been identified as being predominately low/moderate income, only two report having any significant racial or ethnic groups living within them. CT# 020705, which is just south of the boundary of the Cornhill neighborhood reports having a 4.4%-20% Black/African American Population and CT# 021702, which is located in lower South Utica, reports having a .5%-7.5% Hispanic Population.

NA-35 Public Housing – 91.205(b)

Introduction

The data provided below analyzes the occupancy data of public housing in the City of Utica. This summary includes data related to Section 8 vouchers, income, household characteristics and household needs.

What the results demonstrate is that the Municipal Housing Authority is successfully serving the populations most in-need based on the most at-risk categories. There does not appear to be any imbalance in which populations or demographic receive Section 8 vouchers.

Totals in Use

	Program Type								
	Certificate	Mod-Rehab	Public Housing	Vouchers			Special Purpose Voucher		
				Total	Project - based	Tenant - based	Veterans Affairs Supportive Housing	Family Unification Program	Disabled *
# of units vouchers in use	0	0	815	153	0	153	0	0	0

Table 22 - Public Housing by Program Type

*includes Non-Elderly Disabled, Mainstream One-Year, Mainstream Five-year, and Nursing Home Transition

Data Source: PIC (PIH Information Center)

Characteristics of Residents

	Program Type							
	Certificate	Mod-Rehab	Public Housing	Vouchers			Special Purpose Voucher	
				Total	Project - based	Tenant - based	Veterans Affairs Supportive Housing	Family Unification Program
Average Annual Income	0	0	12,469	11,585	0	11,585	0	0
Average length of stay	0	0	7	7	0	7	0	0
Average Household size	0	0	2	2	0	2	0	0
# Homeless at admission	0	0	0	0	0	0	0	0
# of Elderly Program Participants (>62)	0	0	243	41	0	41	0	0
# of Disabled Families	0	0	198	46	0	46	0	0
# of Families requesting accessibility features	0	0	815	153	0	153	0	0
# of HIV/AIDS program participants	0	0	0	0	0	0	0	0
# of DV victims	0	0	0	0	0	0	0	0

Table 23 – Characteristics of Public Housing Residents by Program Type

Data Source: PIC (PIH Information Center)

Race of Residents

Race	Certificate	Mod-Rehab	Public Housing	Program Type					
				Vouchers			Special Purpose Voucher		
				Total	Project - based	Tenant - based	Veterans Affairs Supportive Housing	Family Unification Program	Disabled *
White	0	0	595	99	0	99	0	0	0
Black/African American	0	0	212	53	0	53	0	0	0
Asian	0	0	8	1	0	1	0	0	0
American Indian/Alaska Native	0	0	0	0	0	0	0	0	0
Pacific Islander	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0

***includes Non-Elderly Disabled, Mainstream One-Year, Mainstream Five-year, and Nursing Home Transition**

Table 24 – Race of Public Housing Residents by Program Type

Data Source: PIC (PIH Information Center)

Ethnicity of Residents

Ethnicity	Certificate	Mod-Rehab	Public Housing	Program Type					
				Vouchers			Special Purpose Voucher		
				Total	Project - based	Tenant - based	Veterans Affairs Supportive Housing	Family Unification Program	Disabled *
Hispanic	0	0	141	34	0	34	0	0	0
Not Hispanic	0	0	674	119	0	119	0	0	0

***includes Non-Elderly Disabled, Mainstream One-Year, Mainstream Five-year, and Nursing Home Transition**

Table 25 – Ethnicity of Public Housing Residents by Program Type

Data Source: PIC (PIH Information Center)

Section 504 Needs Assessment: Describe the needs of public housing tenants and applicants on the waiting list for accessible units:

Section 504 of the Rehabilitation Act of 1973 states that no qualified individual with a disability shall, solely by reason of his or her disability, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program, service or activity receiving federal financial assistance; this applies to housing administered by a public housing authority.

The Municipal Housing Authority (hereinafter referred to as UMHA) is committed to ensuring that its policies and procedures do not deny individuals with disabilities the opportunity to participate in, or benefit from, nor otherwise discriminate against individuals with disabilities, on the basis of disability, in connection with the operations of the Housing Authority's programs, services and activities. Therefore, if an individual with a disability requires an accommodation such as an accessible feature or modification to a UMHA policy, the UMHA will provide such accommodation unless doing so would result in a fundamental alteration in the nature of the program; or an undue financial and administrative burden. In such a case, the UMHA will make another accommodation that would not result in a financial or administrative burden.

Most immediate needs of residents of Public Housing and Housing Choice voucher holders

The UMHA owns, manages, and supervises a total of 1,072 units. Of that number, 893 are public housing units, 36 are HOPE VI Stand Alone Tax Credit Units, 50 are Low-Income Housing Tax Credit (Roosevelt Residences), and 93 are Project-Based Section 8 (New York State Public Housing). The UMHA currently provides 243 Section 8 (Housing Choice) Vouchers to local tenants.

Both the Municipal Housing Authority of the City of Utica, NY Low Income Public Housing Program and Section 8 (Housing Choice Voucher) Program have homeless and domestic violence preferences.

Our AmeriCorps Self-Sufficiency Housing Resource Center assisted over 500 people obtain or maintain housing since January. Due to rising rents and continuing difficult economic times in Upstate New York, Utica has witnessed an increase in the number of people evicted, living on the street, or doubling up.

In this section, separate applicant waiting lists are provided for each of the developments owned, managed, or overseen by the Municipal Housing Authority of the City of Utica New York (UMHA). The waiting lists include the following developments:

- Perretta Twin Towers – 108 units - Low Income Public Housing (LIPH) – Senior/Disabled
- Marino-Ruggerio Apartments 50 units -LIPH – Senior/Disabled
- Gillmore Village – 190 units – LIPH Multi-Family
- Duplex Homes – 10 units - LIPH Multi-Family
- 819 Hamilton Street Apartments – 9 Units - LIPH Multi-Family
- F. X. Matts – 66 units - LIPH Multi-Family

Demo

- Adrean Terrace – 200 units - LIPH Multi-Family
- N.D. Peters Manor – 92 units - LIPH Multi-Family
- Humphrey Gardens – 122 units - LIPH Multi-Family
- Chancellor Apartments – 93 units- Project-Based Section 8 Voucher NYS Senior-Disabled Public Housing
- Steuben Village HOPE VI Mixed Finance Development – HOPE VI Mixed Finance – 49 Low-Income Housing Tax Credit (LIHTC) units (25 public housing)
- Rutger Manor HOPE VI Mixed Finance Development HOPE VI Mixed Finance – 33 Low-Income Housing Tax Credit (LIHTC) units (21 public housing)

The waiting lists presented below are maintained separately and, therefore, may have duplication of applicants. The data reflects a single point of time and does not include cumulative applicants. The information is current as of October 2019. The waiting list includes only those households who have met screening criteria (e.g., income, credit, landlord references, home visits, criminal background checks).

How do these needs compare to the housing needs of the population at large

These needs are consistent with the needs of the population at large, as discussed above.

Discussion

Not applicable; see above.

NA-40 Homeless Needs Assessment – 91.205(c)

Introduction:

Because homelessness in our community is not visible to the general public, most residents are not aware of this social problem or they underestimate its size. One positive reason that homelessness lacks visibility in the City of Utica is that we have a fairly strong emergency and transitional housing system. Individuals residing in emergency housing are still considered homeless because they have no fixed, permanent place to live. Emergency housing programs are designed and funded for temporary stays- up to 30 days with some exceptions depending on the program. Also, homeless persons who go to our county jail, a local psychiatric hospital, or to the Addiction Crisis Center and similar short-term treatment programs are still considered homeless if they have no place to live when discharged. While receiving treatment in these facilities, or while living in shelters we don't see them on the streets.

Another reason the homeless are not visible in Utica is that they seek privacy and comfort. Homeless individuals and families will sleep in their car or van if they have one and will park in places where they won't be recognized, disturbed or harassed. These places are often hidden from view. Those without a vehicle often sleep in one of the many abandoned buildings in our community and come out for the day for food, etc. For the most part they blend in with others on our sidewalks and streets. In the warmer weather, homeless men and women will sleep under one of the several bridges that cross Genesee St. near downtown, or in wooded areas within or on the edge of our city limits.

Individuals and families in Utica become homeless for many reasons. One thing is that they cannot afford the cost of housing. Some have regular income, but cannot afford a deposit in addition to the first month's rent-, or- in more and more cases- they can find and pay for a low-cost apartment, but they cannot get the heat and utilities turned on because of past payment problems with National Grid and deposit requirements. Low-cost municipal housing and other government subsidized low-rent housing programs require credit and criminal background checks that pose a significant barrier to many who are homeless. Also, a large proportion of our homeless population struggles with mental health and/or substance abuse disabilities that interfere with their ability to maintain employment and stable family relationships. Other homeless sub-populations well represented in our region are women who are victims of domestic violence (and their children), and both men and women who are unable to afford a new apartment after a family breakup.

We also have many homeless youth age sixteen to twenty-one in our community who lack family support and who, in many cases, have left violent homes. These youth face a different set of barriers than youth in our community faced in the last generation: the cost of housing relative to prevailing wages for entry-level jobs has shifted dramatically, even here where housing is relatively inexpensive. The shift from an industrial

Demo

economy characterized by an abundance of above-minimum-wage factory work to a post-industrial economy characterized by low-wage, part-time, and temporary employment for those without much education has been dramatic. Military service, a way out of poverty and into permanent housing for many young people in the past, is no longer an easily accessible option for those who have not graduated from high school or completed their GED or for those with a criminal offense on their record.

Homeless Needs Assessment

Population	Estimate the # of persons experiencing homelessness on a given night		Estimate the # experiencing homelessness each year	Estimate the # becoming homeless each year	Estimate the # exiting homelessness each year	Estimate the # of days persons experience homelessness
	Sheltered	Unsheltered				
Persons in Households with Adult(s) and Child(ren)	0	29	243	202	200	60
Persons in Households with Only Children	0	109	20	18	16	130
Persons in Households with Only Adults	0	0	675	650	630	30
Chronically Homeless Individuals	0	23	80	70	65	90
Chronically Homeless Families	0	0	15	12	10	90
Veterans	0	13	60	45	45	21
Unaccompanied Child	0	15	80	65	60	70
Persons with HIV	0	2	15	12	10	30

Table 26 - Homeless Needs Assessment

Data Source Comments: Data submitted by the Continuum of Care. Estimates referenced from Continuum of Care and previous Con Plan data.

Indicate if the homeless population Has No Rural Homeless
is:

If data is not available for the categories "number of persons becoming and exiting homelessness each year," and "number of days that persons experience homelessness," describe these categories for each homeless population type (including chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth):

N/A

Nature and Extent of Homelessness: (Optional)

Race:	Sheltered:	Unsheltered (optional)
White	76	0
Black or African American	34	0
Asian	1	0
American Indian or Alaska Native	2	0
Pacific Islander	0	0
Ethnicity:	Sheltered:	Unsheltered (optional)
Hispanic	12	0
Not Hispanic	107	0

Data Source

Comments:

Data submitted by the Continuum of Care

Estimate the number and type of families in need of housing assistance for families with children and the families of veterans.

Thirteen (10%) of the 128 homeless persons surveyed by the Continuum of Care indicated that they were veteran for the PIT census in 2020. In 2019, total of eleven veterans were surveyed, from the eleven, one was unsheltered. Overall, we have seen a shift in numbers for Veteran’s and their families. The decline is due to the increased in services available for Families and Veterans. Though some Veterans may not be eligible for VA services, they are able to access a variety of comparable resources that can fulfill their specific needs. One main organization that provides this service is the CNY Veterans Outreach Center/ Utica Center for Development. The agency offers general case management, SSVF for qualifying Veterans as well as ESG assistance for those who may not qualify for SSVF. They also provide onsite housing through the ESSHI and HHAP projects which gives Veterans either transitional or permanent supportive housing. Additionally, they can utilize general funds to assist with a variety of other needs a Veteran and their family may have. They also have an on-site benefits coordinator that assists with anything from discharge upgrades to increase in benefits. Feed our Vets also provides a food pantry and case management services to Veterans in need. The VA itself also has a variety of supports for homeless Veterans to include HUD VASH, MOTT team and other programs that specifically address the needs of this population. Soldier On is also prevalent within our CoC and provides housing through SSVF as well for homeless Veterans. All these agencies still continually participate in the Veterans Task Force through our CoC and are committed to ending Veteran homelessness in our community. The utilization of this task force as well as the use of Coordinated Entry within the VA and CoC itself has had a great impact on the number of homeless Veteran's in our area. Though there are still many in need, this number has been greatly reduced due to the coordination of both Veteran specific and non-Veteran specific agencies.

The City of Utica continues to utilize Rapid Re-Housing assistance to help house families with children. Rapid Rehousing Program provides housing search and placement, security deposits, short term rental assistance, and case management for both single adults and families with children for homeless persons and families in Utica.

In addition, the reduction in the number of families with children in whether sheltered or unsheltered is reflective of the change in the definition of homelessness, families who are doubling-up are no longer considered homeless

Describe the Nature and Extent of Homelessness by Racial and Ethnic Group.

Black and African-Americans comprise 16% of Utica's population (2015 ACS Data), but account for just under a third (29%) of the homeless population. However, if adjusted for household income, Utica's poor black population appears to become homeless at about the same rate as poor whites. Hispanics represented 5.8% of the city's population in 2000 but this proportion has been growing since our last census. According to the 2015 ACS data, Hispanics represent 11.4% of the City's population.

Describe the Nature and Extent of Unsheltered and Sheltered Homelessness.

Unsheltered –

In 2017 the PIT count for unsheltered was 16 and for 2019 the PIT count was 14 representing 23-25% of the overall PIT census. When looking at the estimated unsheltered numbers collected in HMIS we notice a decline in numbers for unsheltered in our area. The primary reason for this reduction in the number of unsheltered homeless families with children we attribute to two key factors: 1) Homeless individuals and families during severe winter weather are provided with shelter regardless of their situation; Oneida County Department of Social Services has implemented Countywide Code Blue period. When shelters have no beds available the Department of Social Services are utilizing motel vouchers within the city of Utica for individual/families who are displaced during the code blue period. DSS is diligent in keeping the family in the Utica area where children and youth can continue attending schools without any disruptions. 2) The City of Utica (ESG) added a Street Outreach Program which is the initial contact to unsheltered persons. They reach out directly and build crucial relationship with people experiencing homelessness to assist them in finding resources and shelter. Street Outreach workers complete coordinated entry assessments that help determine what type of housing project such as Rapid Re-Housing or Permanent Supportive Housing best suits the individual based on their level of need.

Sheltered- The 2019 Point-in-Time census revealed an increase in the number of persons in emergency housing. The results from 2018 -2020 PIT census shows an increase of 17 persons sheltered. The primary reasons for this increase are 1. The City of Utica has an undersupply of affordable housing. The high housing cost not fitting the standard budget for Public Assistance and for those on a fix income is a serious concern. For individuals staying at a shelter, the length of stay is becoming longer due to the shortage of affordable one-bedroom apartments for single individuals. 2. Access to Public Housing and

other subsidized housing is limited due to the barriers imposed by regulations from funding sources such as background checks, criminal record, no or bad credit, and history of previous evictions etc. 3. Most affordable housing projects have an extensive wait list for housing. The waiting list may be many months to years long, and applicants must go through an approval process. 4. Other housing barriers include, but are not limited to, low-income, substance abuse, criminal records, mental illness, foreclosure and past evictions.

Discussion:

NA-45 Non-Homeless Special Needs Assessment - 91.205 (b,d)

Introduction:

With regard to special needs, the City has identified five special needs populations' five special needs populations including

1. Extremely Low-Moderate Income households (including large family households, and households with children present)
2. Elderly and Frail Elderly Individuals
3. Persons with Disabilities (Including Mental, Physical, and Developmental Disabilities)
4. Victims of Domestic Violence

Describe the characteristics of special needs populations in your community:

Extremely Low-Moderate Income Households: Households which have an annual household income that is between 0-80% AMI have been identified as a special need population, largely due to the needs associated with the high housing cost burden for this population. As identified within the housing needs assessments and disproportionate needs assessments above, persons making less than 80% AMI are the most afflicted with housing cost burden and severe housing cost burden. Households with this special need are more likely to be at-risk for homelessness, have difficulty accessing healthy foods, have difficulty making necessary housing repairs, live in pre-1980s housing units and are more likely to be renters in need of affordable rental units. These households include large family households, families with children and public housing residents

Elderly and Frail Elderly: 33% of households within the jurisdiction are estimated to have at least one elderly individual. 40% of those households are single person elderly households. Another 9% of are households in which an elderly individual is caring for one or more grandchild(ren) under the age of 18.. Elderly individuals living below the poverty level make up 16.1% of the total population living in poverty. That percentage grows to 48% (of 8,314) when looking at the population over the age of 65.

Persons with Mental, Physical, and/or Developmental Disabilities: 20% of the population of the City having some form of physical or mental disability. 82% of the population with a disability is over the age of 18, with 48% being elderly (as discussed above). For individuals reporting a disability between the ages of 18 and 64, between 10% and 15% have hearing difficulty, the same percentage % have vision difficulty, roughly 50% have cognitive difficulty and/or have ambulatory difficulty, over 20% have self-care difficulty and over 40% have independent living difficulty. (The disabled population over the age of 65 is discussed above.) With regard to poverty, disabled adults between 18 and 34 report over 40% living in poverty, between 35 and 65 report over 40% living in poverty. When looking at the disabled elderly, roughly 20% of those over the age of 65 live below the poverty level

Victims of Domestic Violence or Sexual Assault: The YWCA of the Mohawk Valley provides the most comprehensive domestic violence services to domestic violence victims and their children in the City of

Utica. According to their reports, they answered 2,462 calls for help from DV victims on their 24-hour hotline last year. Approximately 50% of these calls originating from the City of Utica. Using this to develop the most conservative estimate, approximately 1,231 residents of the jurisdiction were victims of domestic violence, dating violence, sexual assault and stalking. And they served 60 women and 46 children in their ESG-funded Domestic Violence shelter located in Utica, and 12 adult Domestic Violence victims and 12 children in their CoC-funded Utica-based transitional housing program for DV victims and their children. However, given that approximately 1,231 residents of the jurisdiction were victims last year, only 18% (224) sought and received housing assistance. It is likely that at least half actually needed housing assistance, but did not seek it.

What are the housing and supportive service needs of these populations and how are these needs determined?

Extremely Low-Moderate Income Households: Given the above analysis of the characteristics of this populations, the City of Utica has concluded that extremely low-moderate income households are in needs of housing (especially rental units), assistance with making necessary housing repairs, proximately to available healthy food options, and access to support services to help reduce cost burden. Additionally, in order to assist this special need population move beyond their current financial position, job training, education services, and job referral/assistance programs are also necessary._

Elderly and Frail Elderly: Looking at the population of elderly individuals living below the poverty level it is apparent that there is a substantial need for affordable housing. Given that 52% of the elderly households are living alone, it is important that they have access to safe and affordable housing that is within a community that will allow them to be social and have access to important services while still maintaining affordability. Additionally, the degree of disability among the elderly creates a need for access to affordable and accessible housing Supportive services needed within this population are similar to those supportive services needed by the disabled population discussed below.

Persons with Mental, Physical, and/or Developmental Disabilities: Disabled adults are in need of safe, affordable housing that is accessible and/or supportive. The most obvious need for the disabled is accessibility both for newly developed housing and existing housing in need of accessible upgrades. Furthermore, support housing that aids with self-care and independent living is also a significant need.

Victims of Domestic Violence: Through analyzing the statistics provided by the YWCA and understanding that victims of domestic violence often have to leave quickly and secretly, they have extensive housing needs (both transitional and affordable) as well as social service referral needs, assistance with reestablishing through job training and educational assistance, and counseling services.

Discuss the size and characteristics of the population with HIV/AIDS and their families within the Eligible Metropolitan Statistical Area:

According to the 2019-2021 Oneida County Health Assessment, Oneida County is far below the HIV case rate when compared with the New York State case rate. When analyzing the case rate per 100,000, Oneida County come in at 5% as opposed to New York State which is identified at 7%. Additionally, from 2009 to 2011, Oneida County saw a decrease in AIDS cases from 13 to 6 and a decrease in HIV cases from 22 to 12, As a result of the low incidents of HIV/AIDS within the area, little to no data exists with regard to the population's characteristics.

Discussion:

While each of these special needs categories are unique with regard to the types of needs they have, all of the special needs populations demonstrate a need for supportive housing to aid in their ability to live independently. Additionally, Low-Moderate Households, Persons with Disabilities and Victims of Domestic Violence all demonstrate additional needs associated with job training and accessibility to educational opportunities. Finally, all five special needs populations have a needs with regard to access to supportive social services including referral services for specific situations, counseling services, and emergency services.

NA-50 Non-Housing Community Development Needs – 91.215 (f)

Describe the jurisdiction’s need for Public Facilities:

With its CDBG funds, the City of Utica has the ability to fund the construction, rehabilitation or installation of public facilities, including neighborhood facilities.

Traditionally and historically, the City of Utica has not utilized much (if any) of its CDBG resources for the construction or rehabilitation of public facilities. However, for the past twelve to eighteen months, the City has been working with The Community Foundation of Herkimer & Oneida Counties on the possible development of a neighborhood facility in a former high school gym in Cornhill, one of the City’s predominantly low- to moderate-income residential neighborhoods. Termed an ‘Impact Center’, the effort aims to provide a holistic range of services to the neighborhood residents and utilizes a new business model whereby various social service providers would lease space within the Center. The proposed location is currently owned by the Utica Urban Renewal Agency (UURA), who would be a partner in this effort. CDBG funds may be utilized within the 2020 – 2024 span of time covered by this Consolidated Plan, though no funds have been allocated to the effort in the current 2020 – 2021 program year.

How were these needs determined?

The limited need to use CDBG funds for public facilities was determined through an extensive public outreach/citizen participation effort described in other parts of the previous and current Consolidated Plans. Additionally, the City has been coordinating with The Community Foundation of Herkimer & Oneida Counties for roughly the last twelve to eighteen months.

Describe the jurisdiction’s need for Public Improvements:

With its CDBG funds, the City of Utica has the ability to fund the construction, rehabilitation or installation of public improvements including such elements as street and sidewalk improvements and water and sewer installation.

Historically, the City of Utica traditionally allocates a fair amount of its total CDBG entitlement to the reconstruction of streets; this trend is likely to continue given the current state of repairs of the City’s streets and infrastructure. Over the past several years, in accordance with the ‘complete streets’ theory espoused by the City’s master plan, the City has begun allocating CDBG funds to the replacement of sidewalks; this is likely to continue through the 2020-2024 Consolidated Plan period as well.

How were these needs determined?

Again, these needs were determined based on an extensive public outreach/citizen participation process that the City employed for its 2020-2024 Consolidated Plan. The condition of the City's streets and infrastructure are frequently raised as one of the most pressing issues for the general public. The City's Engineering Department rates each road throughout the City annually and the highest ranking streets are listed for improvement; those on the list for improvements that are primarily residential and located in an area primarily low- to moderate-income then become eligible for CDBG funding.

Describe the jurisdiction's need for Public Services:

With CDBG funds, the City of Utica has the ability to fund public services for its low- and moderate-income residents. Eligible public services include homeless services, education and workforce development programs, homebuyer counseling, as well as services for senior citizens and youth. Any funds expended for public services, under CDBG regulations, are capped at no more than 15% of a community's entitlement.

The City of Utica annually provides support to its three senior centers, along with several of not-for-profits that provide activities to income-eligible youth throughout the City of Utica; this is likely to continue through the duration of the 2020 – 2024 Consolidated Plan period. Under Mayor Palmieri, the amount of CDBG dollars allocated to public services has been cut nearly in half over the last eight years, to about 8% of the City's entitlement. However, in light of the current pandemic and HUD's relaxation on the public service cap for funds expended to address the pandemic, it is likely that the City's allocation of CDBG funds for public service activities will increase dramatically over historic levels. As it is, allocation of CDBG funds to public services has already increased to just under 13% in the proposed 2020 – 2021 Annual Action Plan.

How were these needs determined?

The need for public services is generally most effectively provided through the annual applications for CDBG funds that the City announces each year. As has been past practice for the last several years, the City released a Notice of Funding Availability this year which was published as a legal notice in the City's official newspaper. This NOFA alerted local social service agencies to the availability of CDBG funds from the City in the upcoming program year. The Notice detailed eligible activities for which the CDBG funds could be expended and provided a source for the application itself along with a deadline for submission back to the City.

Housing Market Analysis

MA-05 Overview

Housing Market Analysis Overview:

Using Comprehensive Housing Affordability Strategy (CHAS) and American Community Survey (ACS) data provided by HUD, the City has analyzed the current Market Conditions within the jurisdiction and has used this analysis to aid in the formulation of the strategic plan.

With regard to the housing market, the available data demonstrates that while there are a number of affordable housing units available within the City of Utica, there is a substantial need for additional units of affordable housing based on the number of low/moderate income residents that exist within the community. Analysis of housing costs demonstrated that the, fair market rents and affordable HOME rents are not very far from each other, and in many cases the affordable rents are actually higher than the fair market rents. This coupled with the issues pertaining to cost burden and severe cost burden indicate that there is a need to ensure that units developed are truly affordable.

The condition of the current housing stock within the City of Utica is, based upon the data available, substandard, especially with regard to the homes likely occupied by low/moderate income households. This issue results substantially from the age of the housing stock, which was predominately built prior to 1980, with about half being built before 1950.

In analyzing public housing, anticipate reductions in funding for modernization improvements, coupled with a need to improve and update housing units creates a concerning market condition, especially given the significant waiting list for the existing 800+ units.

The market for facilities and services to meet the needs of the homeless continue to be significant within the City, and despite relatively low levels of funding to meet these needs, facilities have been successfully operating shelters, transitional housing programs, and rapid-rehousing programs to meet the needs of the community.

Analysis of the market as it associates with special needs communities identified the following types of services and supportive housing that are needed to support the special needs populations:

- Housing that is affordable, accessible and provides socialization for the elderly and frail elderly
- Transitional housing with counseling, job training and educational services for domestic violence victims;
- Housing that is accessible provides independent living assistance, non-nursing self-care assistance, and supportive services for persons with disabilities;
- Transitional housing for persons with disabilities leaving institutional settings; and

- Housing that is affordable and has access to job training and educational support services for the extremely low-moderate income households.

The market analysis with regard to the non-housing related community assets is driven significantly by the State's investment in the Nano Utica initiative which has created new needs for job training, educational opportunity assistance, and workforce preparation across multiple age and income brackets.

As is evident from this summary, and which will become clearer from the detailed analysis to follow, the City is currently on the cusp of a significant change in both the housing and economic markets. As such, the needs of the community are rapidly increasing and the rehabilitation and development of affordable of housing for low/moderate income, special needs populations, and homeless individuals and families has become an even greater necessity than in previous years.

MA-10 Number of Housing Units – 91.210(a)&(b)(2)

Introduction

The data included within this subsection demonstrates that while there are a number of affordable housing units available within the City of Utica, there is a substantial need for additional units of affordable housing.

All residential properties by number of units

Property Type	Number	%
1-unit detached structure	11,080	40%
1-unit, attached structure	500	2%
2-4 units	11,040	40%
5-19 units	2,175	8%
20 or more units	2,635	10%
Mobile Home, boat, RV, van, etc	130	0%
Total	27,560	100%

Table 27 – Residential Properties by Unit Number

Data Source: 2011-2015 ACS

Unit Size by Tenure

	Owners		Renters	
	Number	%	Number	%
No bedroom	15	0%	430	3%
1 bedroom	220	2%	3,220	25%
2 bedrooms	1,715	16%	3,825	30%
3 or more bedrooms	9,020	82%	5,175	41%
Total	10,970	100%	12,650	99%

Table 28 – Unit Size by Tenure

Data Source: 2011-2015 ACS

Describe the number and targeting (income level/type of family served) of units assisted with federal, state, and local programs.

Public Housing Authority Units: There are a total of 1,072 units provided through the Utica Municipal Housing Authority. 893 are public housing units, 36 are HOPE VI Stand Alone Tax Credit Units, 50 are Low-Income Housing Tax Credit (Roosevelt Residences) and 93 are Project-Based Section 8 (New York State Public Housing). The UMHA has available 243 Section 8 (Housing Choice) Voucher units. With regard to physical units, of which there are 895, 410 are 1 bedroom, 274 are 2 bedrooms, 164 are 3 bedrooms, 45 are 4 bedrooms and 2 are 5 or more bedroom units.

Kennedy Plaza Apartments: Kennedy Plaza Apartments contains 204 rental units ranging from studio to two bedrooms, with the vast majority being one-bedroom units. The units were rehabilitated by Liberty Affordable Housing in 2011 with the use of Low Income Housing Tax Credits, State Affordable Housing Funds, Private Investment and City of Utica HOME funds. They are targeted, due to the presence of low income housing tax credits, for income levels below 60% AMI.

Genesee Crossings: Is a scattered site affordable rental housing project which developed 33 units at affordable housing targeted at households with an income at or below 60% AMI. The project used low income housing tax credit, state affordable housing funds, City HOME Funds and private investment to develop the units. Nine of the units are one bedroom units located at a single address and targeted towards senior citizens. 10 are 2 bedroom units aimed at smaller families and individuals. 6 are three bedroom units and 8 are four bedroom units and are targeted at larger families.

Johnson Park Apartments: Through the use of HOME funds, New York State funds, and Private Investment the Johnson Park Center maintains 29 rental units targeted at extremely low income women and families who suffer from mental illness, addiction and/or have been chronically homeless. 3 units are efficiency units, 17 are 1 bedroom units, 4 are 2 bedroom units, and 5 are three bedroom units. In addition to providing safe and affordable housing, Johnson Park Center also provides support services to aid with mental health problems, addiction problems, and prevention of future homelessness. In 2020, ground will be broken on Phase VII of the Johnson Park Apartments program, creating 60 affordable rental units targeted primarily toward the elderly and working families.

Lincoln Ave Rental: Through the use of City of Utica HOME funds and private development, 3 affordable rental units were created through rehabilitation of a property acquired from the City of Utica Urban Renewal Agency in 2015.

West Street Apartments: Through the use of City of Utica HOME funds, other federal funds, and private investment, 42 units were developed (36 are 1BR units and 6 are 2BR units) for the workforce rental community with supportive housing units.

Asteri Apartments: Through the use of City of Utica HOME funds, other federal funds, and private investment, 49 affordable workforce units were developed (42 are 1BR units and 7 are 2BR units) with a number of units dedicated to individuals with developmental disabilities.

Provide an assessment of units expected to be lost from the affordable housing inventory for any reason, such as expiration of Section 8 contracts.

No housing units are anticipated to be lost from the inventory of affordable housing units for any reason at this time.

Does the availability of housing units meet the needs of the population?

While there are a significant number of affordable housing units available within the City of Utica, there is still a need for more units. Although there are 1,432 physical units of affordable rental housing that are required to be so due to the federal and state funds they received, there are approximately 9,900 households within the City of Utica living below the area median income. There are private developers who do maintain low rents, as well as Section 8 and other rental assistance programs to aid with rental costs. However, the rental assistance programs all report 6-12 month waiting lists for vouchers and many of the privately owned units are substandard and unsafe.

Describe the need for specific types of housing:

There is a need for both rental and ownership units for affordable housing. With regard to rental housing units, there is a substantial need for units that are targeted at extremely low (0-30% AMI) and very low income persons (30-50%) as these households have the highest cost burden and the fewest available units. There is also a substantial need for housing targeted at special needs populations including the elderly, veterans, immigrant and refugee populations and the disabled - both developmentally and physically.

With regard to homeownership units, there is a need for affordable units which can accommodate larger sized families. There is especially a need for these units within the 60%-100% AMI income ranges. This is determined based upon community discussions at public meetings, community needs assessment roundtable events, and through the City of Utica Urban Renewal Agency. There is a significant desire for larger families earning moderate incomes to become homeowners; however the initial costs create a barrier to achieving that goal.

Discussion

MA-15 Housing Market Analysis: Cost of Housing - 91.210(a)

Introduction

As will be explained in this section, the cost of housing within the jurisdiction has increased since the base year (2009) at a slower rate compared to the previous base year, with a \$8,200 increase in the median home value and a \$93 increase in the median contract rent (compared to a \$40,000 increase in the median home value and a \$130 increase in the median contract rent between 2000 and 2011). These numbers are expected to increase substantially with the advent of NANO-Utica and the increase in high paying tech jobs and highly educated, highly paid households. Additionally, fair market rents and affordable HOME rents are not very far from each other, and in many cases the affordable rents are actually higher than the fair market rents. This coupled with the issues pertaining to cost burden and severe cost burden indicate that there is a need to ensure that units developed are truly affordable for those in need of affordable housing.

Cost of Housing

	Base Year: 2009	Most Recent Year: 2015	% Change
Median Home Value	81,000	89,200	10%
Median Contract Rent	443	536	21%

Table 29 – Cost of Housing

Data Source: 2005-2009 ACS (Base Year), 2011-2015 ACS (Most Recent Year)

Rent Paid	Number	%
Less than \$500	5,315	42.0%
\$500-999	6,760	53.4%
\$1,000-1,499	315	2.5%
\$1,500-1,999	75	0.6%
\$2,000 or more	175	1.4%
Total	12,640	99.9%

Table 30 - Rent Paid

Data Source: 2011-2015 ACS

Housing Affordability

% Units affordable to Households earning	Renter	Owner
30% HAMFI	1,505	No Data
50% HAMFI	5,555	2,010
80% HAMFI	10,095	4,224
100% HAMFI	No Data	5,532
Total	17,155	11,766

Table 31 – Housing Affordability

Data Source: 2011-2015 CHAS

Monthly Rent

Monthly Rent (\$)	Efficiency (no bedroom)	1 Bedroom	2 Bedroom	3 Bedroom	4 Bedroom
Fair Market Rent	556	608	786	985	1,072
High HOME Rent	556	608	786	985	1,072
Low HOME Rent	556	608	786	915	1,021

Table 32 – Monthly Rent

Data Source: HUD FMR and HOME Rents

Is there sufficient housing for households at all income levels?

There is not sufficient housing at all income levels. In analyzing the Housing Affordability Table above against the table identifying the total households in each income bracket from the Housing Needs Assessment above, it is clear that there is insufficient housing available for the extremely low and low income households within the jurisdiction. There are estimated 5,830 households earning between 0-30% AMI, yet there are only 1,505 units of affordable rental housing for those earning 30% AMI. For people in the 30-80% AMI bracket there are only 5,555 units of affordable housing despite there being 8,630 households.

How is affordability of housing likely to change considering changes to home values and/or rents?

Between the base year and the current year the value of ownership units have increased by approximately \$8,200.00 and median rent has increased by almost \$93. With regard to homeownership units, this is still a large increase and therefore results in homeownership units being less affordable. With regard to rental units, this is a relatively modest increase in the base contract rents, however this increase nonetheless has a negative effect on the affordability of units and contributes to the substantial issue related to cost burden. Furthermore, with the advent of Nano-Utica and the increase in high paying tech jobs coming to the area, it is projected that median rental costs will substantially increase and therefore units will become increasingly less affordable.

How do HOME rents / Fair Market Rent compare to Area Median Rent? How might this impact your strategy to produce or preserve affordable housing?

High HOME Rents are identical to Fair Market Rents and Low HOME Rents are equal to or slightly lower than Fair Market Rents (by \$70-\$162 after 2BR units). Given this fact and the problem with regard to cost burden and severe cost burden amongst the lowest income renters, rental development projects

need to be substantially more focused on aiming at lower rent costs and more Low HOME Units. Furthermore, by increasing requirements for providing leveraged funding sources and tenant based subsidy sources, more truly affordable units can be developed. Low Income Housing Tax Credit Project are especially beneficial for resolving this issue as they generally provide substantial funding outside of HOME and target to lower income households.

Discussion

Given the above analysis, it is clear that not only is there a need for more affordable housing, but that even with the use of HOME funds to develop such housing, there needs to be consideration for the fact that the HOME Rents are not significantly more affordable than the Fair Market Rents and therefore developers should be incentivized and encouraged to provide units and an even lower rate than what HOME requires.

MA-20 Housing Market Analysis: Condition of Housing – 91.210(a)

Introduction

The condition of the current housing stock within the City of Utica is substandard, especially with regard to the homes likely occupied by low/moderate income households. This issue results substantially from the age of the housing stock, which was predominately built prior to 1980, with about half being built before 1950.

Definitions

The City of Utica defines "substandard condition" and "substandard condition but suitable for rehabilitation" in the following manner:

"Standard Condition"-a unit that meets or exceeds HUD's Section 8 quality standards.

"Substandard Condition but Suitable for Rehabilitation" -a unit that does not meet Section 8 quality standards but could be brought up to those standards for less than the unit's replacement cost.

Condition of Units

Condition of Units	Owner-Occupied		Renter-Occupied	
	Number	%	Number	%
With one selected Condition	2,665	24%	6,520	52%
With two selected Conditions	50	0%	325	3%
With three selected Conditions	0	0%	0	0%
With four selected Conditions	0	0%	0	0%
No selected Conditions	8,255	75%	5,805	46%
Total	10,970	99%	12,650	101%

Table 33 - Condition of Units

Data Source: 2011-2015 ACS

Year Unit Built

Year Unit Built	Owner-Occupied		Renter-Occupied	
	Number	%	Number	%
2000 or later	74	1%	410	3%
1980-1999	335	3%	1,070	8%
1950-1979	4,235	39%	3,045	24%
Before 1950	6,325	58%	8,120	64%
Total	10,969	101%	12,645	99%

Table 34 – Year Unit Built

Data Source: 2011-2015 CHAS

Risk of Lead-Based Paint Hazard

Risk of Lead-Based Paint Hazard	Owner-Occupied		Renter-Occupied	
	Number	%	Number	%
Total Number of Units Built Before 1980	10,560	96%	11,165	88%
Housing Units build before 1980 with children present	255	2%	80	1%

Table 35 – Risk of Lead-Based Paint

Data Source: 2011-2015 ACS (Total Units) 2011-2015 CHAS (Units with Children present)

Vacant Units

	Suitable for Rehabilitation	Not Suitable for Rehabilitation	Total
Vacant Units	0	0	0
Abandoned Vacant Units	0	0	0
REO Properties	0	0	0
Abandoned REO Properties	0	0	0

Table 36 - Vacant Units

Data Source: 2005-2009 CHAS

Need for Owner and Rental Rehabilitation

There are four housing conditions analyzed when determining whether or not a household is experiencing a housing problem: (1) Housing Unit lacks complete kitchen facilities; (2) Housing Unit lacks complete plumbing facilities; (3) Overcrowding exists within the housing unit (more than one person per room); and/or (4) Cost burden is greater than 30% of the household income. In reviewing the data relative to the need for rehabilitation, it is apparent that there is a substantial need for the rehabilitation of units within the jurisdiction. This need is greatest within the rental housing area of the jurisdiction, in which 52% of occupants are reported as having one of the conditions present. With regard to homeowners, 24% of the households report having at least one condition present (an increase in both categories). As demonstrated by the attached map, the issue is widespread throughout the City, with a significant need in both West Utica and the Cornhill neighborhood.

Estimated Number of Housing Units Occupied by Low or Moderate Income Families with LBP Hazards

Analyzing the concentration of rental housing built prior to 1980 as it corresponds with the concentrations of poverty, it is clear that there is substantial overlap occurring which indicates that the majority of low/moderate income families living are living in residents that have lead-based hazards. The City estimates that 75-90% of low/moderate income families are living in homes containing lead-based paint hazards.

Discussion

MA-25 Public and Assisted Housing – 91.210(b)

Introduction

The Utica Municipal Housing Authority (UMHA) is one of the top performing housing authorities and is constantly improving its housing stock and the quality of life for their residents. The UMHA is committed to investing in its properties and modernizing its portfolio. The UMHA anticipates continued major reductions in the HUD Capital Fund Program which provides funding for modernization improvements. A significant amount of funding is needed to upgrade its apartment units. In response to these challenges, the UMHA is developing a strategy to compensate for the loss of federal funding. The UMHA is submitting applications to the HUD Rental Assistance Demonstration Program to convert public housing properties into mixed finance/Project Based Section 8 developments to ensure a stable income stream. In addition, the UMHA will be applying for Low Income Housing Tax Credits and other public and private funding to finance property improvements at its developments. UMHA continues to improve maintenance at its developments, increase security measures, maintain and expand resident service programs, develop new housing units, and provide exemplary customer service.

Totals Number of Units

	Program Type								
	Certificate	Mod-Rehab	Public Housing	Vouchers					
				Total	Project -based	Tenant -based	Special Purpose Voucher		
							Veterans Affairs Supportive Housing	Family Unification Program	Disabled *
# of units vouchers available			893		93	243	0	0	30
# of accessible units			18						
*includes Non-Elderly Disabled, Mainstream One-Year, Mainstream Five-year, and Nursing Home Transition									

Table 37 – Total Number of Units by Program Type

Alternate Data Source Name:

General Community Survey

Data Source Comments:

Describe the supply of public housing developments:

Describe the number and physical condition of public housing units in the jurisdiction, including those that are participating in an approved Public Housing Agency Plan:

The UMHA owns, manages, and supervises a total of 1,072 units. Of that number, 893 are public housing units, 36 are HOPE VI Stand Alone Tax Credit Units, 50 are Low-Income Housing Tax Credit (Roosevelt Residences), and 93 are Project-Based Section 8 (New York State Public Housing).

Both the Municipal Housing Authority of the City of Utica, NY Low Income Public Housing Program and Section 8 (Housing Choice Voucher) Program have homeless and domestic violence preferences.

Our AmeriCorps Housing Opportunity Center assists over 500 people each year obtain or maintain housing, access housing assistance programs, prevent evictions, and help the homeless to find shelter.

The following is a list of the developments owned, managed, or overseen by the Municipal Housing Authority of the City of Utica New York (UMHA):

- Perretta Twin Towers – 108 units - Low Income Public Housing (LIPH) – Senior/Disabled
- Marino-Ruggerio Apartments 50 units -LIPH – Senior/Disabled
- Gillmore Village – 190 units – LIPH Multi-Family
- Duplex Homes – 10 units - LIPH Multi-Family
- 819 Hamilton Street Apartments – 9 Units - LIPH Multi-Family
- F. X. Matts – 66 units - LIPH Multi-Family
- Adrean Terrace – 200 units - LIPH Multi-Family

- N.D. Peters Manor – 92 units - LIPH Multi-Family
- Humphrey Gardens – 122 units - LIPH Multi-Family
- Chancellor Apartments – 93 units- Project-Based Section 8 Voucher NYS Senior-Disabled Public Housing
- Steuben Village HOPE VI Mixed Finance Development – HOPE VI Mixed Finance – 49 Low-Income Housing Tax Credit (LIHTC) units (25 public housing)
- Rutger Manor HOPE VI Mixed Finance Development HOPE VI Mixed Finance – 33 Low-Income Housing Tax Credit (LIHTC) units (21 public housing)

Much of the UMHA housing portfolio needs realignment, renovation, and redevelopment to ensure its long-term viability. In response, UMHA has elected to create a portfolio operating, development and management strategy that will meet the mission and goals of UMHA.

The Rental Assistance Demonstration (RAD) is a program of the Office of Recapitalization in the Office of Multifamily Housing Programs at HUD. Authorized by Congress in 2012, RAD allows public housing agencies and owners of other HUD-assisted properties to convert units from their original sources of HUD financing to project-based Section 8 contracts. These new contracts provide a more reliable source of operating subsidy that enables property owners to leverage private capital, such as debt and equity, to finance new construction and/or rehabilitation of rental housing.

Our RAD project involves the revitalization (rehabilitation, demolition, and new construction) of the UMHA public housing developments. The UMHA will convert its units from Section 9 public housing to Project-Based Section 8 subsidies. The project is currently in a planning phase. Cost estimates, architectural plans, and financing will be finalized this spring. HUD has awarded CHAPs for two of its developments - (Gilmore/Humphrey/Hamilton/Duplex (164 units) and Perretta Twin Towers and Marino-Ruggiero (242 units). A portfolio reservation has been made for the 487 remaining units. The project will involve relocation of its existing residents. Financing for the project is likely to consist of 4% and 9% Low Income Housing Tax Credits, FHA loans, Federal Home Loan Bank, Community Development Block Grant, and private foundation grants. The UMHA will seek financing in phases and over several years to enhance its likelihood to receive funding.

Public Housing Condition

Public Housing Development	Average Inspection Score

Table 38 - Public Housing Condition

Describe the restoration and revitalization needs of public housing units in the jurisdiction:

Public housing has traditionally served as the last resort for the very poor who simply cannot find viable housing elsewhere. Not only is there a guaranteed low rent and no move in costs, but tenant protections and a landlord – a municipal corporation – that is accountable to the public make public housing a valuable resource. Public housing serves as important part of the social safety net. Once units are lost, they will not be replaced. Preserving these units is critical to maintaining a community’s affordable housing stock.

Federal subsidies have provided the major source of funding for rehabilitation of the UMHA public housing stock. For decades, this financing has continued to be significantly cut. Public housing has witnessed since 2010, a 35 percent decrease in federal funding. As a result, vital projects which prevent the deterioration of building systems have been delayed, which has, in turn, has created an ever increasing backlog of capital projects. If these capital needs are not addressed on a timely basis, rehabilitation costs will increase in the future, putting into jeopardy the long-term viability of our projects.

The UMHA faces approximately \$23 million in unmet capital needs to repair and renovate its inventory. Sufficient investment in these properties will preserve them for decades to come.

The UMHA is committed to investing in its properties and modernizing our portfolio. Despite recent funding increases, we anticipate continued major reductions in the HUD Capital Fund Program which provides funding for modernization improvements. A significant amount of funding is needed to upgrade our rental apartment units.

In order to meet this challenge, the UMHA has made application to HUD for the RAD conversion of its portfolio. Our RAD program will involve the conversion of our entire public housing portfolio to a form of Project-Based Section 8-type voucher program. This will allow the UMHA to leverage Low Income

Housing Tax Credits and debt to fund near and long-term rehabilitation needs of housing developments. The Section 8 Project-Based program has not been significantly impacted by funding cuts compared to public housing programs.

Future CFP funds will be used to fund activities related to the rehabilitation of units consistent with the RAD initiative.

In 2019, the UMHA intends to apply to the New York Public Housing Modernization program to continue to make upgrades to its Project-Based Section 8 Chancellor Apartments.

Describe the public housing agency's strategy for improving the living environment of low- and moderate-income families residing in public housing:

1. **Enhance the quality and delivery of maintenance services**

The UMHA will explore methods to increase unit turnaround time, continue to automate work order processing, provide customer follow-up monitoring of work orders, enhance preventive maintenance activities, hiring additional maintenance staff, developing preventive maintenance plans, reconfigure senior maintenance positions, and upgrade the training of maintenance staff.

As part of the RAD conversion process, the UMHA will develop new maintenance policies, protocols, and procedures to ensure that the developments exceed HUD standards.

1. **Continue to implement security improvements and strategies such as surveillance cameras and resident crime prevention training to improve safety and reduce crime.**

The UMHA will continue to implement initiatives to promote safety and security at our developments and will explore the development of community collaborations to promote safety and security at our

developments. In 2020, the UMHA intends to seek additional funding for resident safety initiatives and will help residents organize neighborhood watch and crime prevention education programs.

1. Improve customer service for UMHA residents

The UMHA intends to ensure that our staff continues to provide a consistent, reliable and professional standard for each interaction with customers, a philosophy which is embedded in our “quality of life management” initiative.

We have developed new resident initiatives such as periodic unit inspections, one-to-one counseling sessions for those tenants with rent arrears, frequent meetings at our housing developments to obtain resident input, newsletters, creation of effective communication channels between management and residents, and the implementation of quality control and monitoring to ensure that our maintenance department responds to tenant maintenance requests as quickly as possible.

The UMHA has incorporated community building and creating a sense of place into its management practices. This involves developing opportunities for residents to plan and take part in developing community activities that build neighborhood cohesion.

The UMHA will continue to implement changes to its intake and recertification system by simplifying forms, procedures and other improvements to increase processing time and improve the customer service experience. The UMHA will explore creating on-line systems for prospective tenants and residents to use to file applications and request services. A major goal will be to digitalize and automate resident screening, eligibility determination, application, and recertification systems to enhance customer service

Discussion:

As described above, the needs of UMHA are significant; however they are consistently working to provide more units, increase the quality of life of their residents, and improve and add to their physical portfolio.

MA-30 Homeless Facilities and Services – 91.210(c)

Introduction

The City of Utica is slated to receive \$215,750 in Emergency Solutions Grant funding during the 2020-2021 program year. These funds are used to rapidly re-house homeless persons and families and to prevent homelessness for persons and families at imminent risk. With this funding, the City of Utica has proposed assisting eight (8) programs administered by six (6) sub-recipient agencies and designed to assist homeless persons and families and those at imminent risk of becoming homeless. Given the very nominal amount of funding that the City receives, spread among eight different programs, the impact of the funding is limited.

The programs/activities to be funded with the City's ESG entitlement include:

YWCA (\$40,000) to operate the Hall House shelter for female victims of domestic violence and their children.

Johnson Park Center (\$33,500) to continue funding for the emergency/transitional housing program for females who may have been ex-offenders or substance abusers and the chronically homeless.

Rescue Mission of Utica (\$15,000) to operate a men's shelter.

ICAN (\$34,727) for their Evelyn's House to expand operations of their 7-bed shelter for pregnant and parenting teenage mothers with a Rapid Rehousing component (this grant includes \$31,730 of FY2015 funds that have been re-allocated). This component of the City of Utica's Emergency Solutions Grant complies with the minimum 40% rapid-rehousing requirement.

Utica Municipal Housing Authority (\$64,832) to operate the rapid-rehousing and (\$21,240) to operate the homeless outreach services portion of the program. This component of the City of Utica's Emergency Solutions Grant complies with the minimum 40% rapid-rehousing requirement.

Utica Center for Development (\$8,000) to operate their rapid re-housing program and (\$4,000) to operate their homeless prevention services portion of the program. This component of the City of Utica's Emergency Solutions Grant complies with the minimum 40% rapid-rehousing requirement.

United Way (\$10,000) for HMIS purposes

Additionally, the City intends to fully utilize the HUD-regulated maximum 7.5% administrative cap which totals \$16,181 for the 2020-2021 program year.

The City will continue to address homelessness prevention within the City of Utica by providing funds to Utica Municipal Housing Authority’s Rapid Rehousing Program and Homeless Street Outreach activities, and the Utica Center for Development will also administer and implement use of Rapid Rehousing funds specifically for homeless veterans and their families.

Facilities and Housing Targeted to Homeless Households

	Emergency Shelter Beds		Transitional Housing Beds	Permanent Supportive Housing Beds	
	Year Round Beds (Current & New)	Voucher / Seasonal / Overflow Beds	Current & New	Current & New	Under Development
Households with Adult(s) and Child(ren)	33	0	20	238	0
Households with Only Adults	94	0	4	358	0
Chronically Homeless Households	0	0	0	41	0
Veterans	0	0	10	24	0
Unaccompanied Youth	11	0	7	0	3

Table 39 - Facilities and Housing Targeted to Homeless Households

Data Source Comments:

Describe mainstream services, such as health, mental health, and employment services to the extent those services are used to complement services targeted to homeless persons

Mental Health -The key stakeholders and/or collaborating agencies are the NY State Office of Mental Health, St. Luke's and St. Elizabeth's Hospital, Rome Community Hospital, the Oneida County Department of Mental Health, Catholic Charities of Oneida and Madison Counties, Neighborhood Center, Upstate Cerebral Palsy, Human Technologies Corporation, Rescue Mission of Utica and Central New York Services, Inc.

Employment - **75%** of homeless assistance providers supply transportation assistance to clients to attend mainstream benefit appointments, employment training, or jobs. **100%** of Homeless assistance providers use a single application form for four or more mainstream programs. **100%** of Homeless assistance providers have staff systematically follow-up to ensure mainstream benefits are received. We are now greatly exceeding HUD targets for the employment of homeless persons exiting supportive housing programs in our CoC. We have accomplished this by strengthening existing programs designed to support homeless individuals as they seek employment, and by aggressively pursuing and obtaining grant funding from the U.S. Department of Labor to serve ex-offenders who are unemployed (ex-offenders are a significant portion of our homeless population). Several employment programs for the homeless have been in place since 2007 including "Jobs and Hope for Homeless Veterans" funded by the US Department of Labor; and a "Second Start" employment program for youth age 16-19 who are exiting Oneida County Jail

Healthcare - The key stakeholders and/or collaborating agencies responsible for ensuring that persons are not routinely discharged from healthcare facilities into homelessness are St. Luke's and St. Elizabeth's Hospital, Rome Community Hospital, the Oneida and Madison County Departments of Social Services, of Health and Mental Health, and Adult Protective Services Program managed by their respective Departments of Social Services. Also, for our aging population exiting hospitals and nursing homes, the Oneida County Office for Aging and Continuing Care and Resource Center for Independent Living (a CoC Board member) are responsible for serving those who are discharged from nursing homes

List and describe services and facilities that meet the needs of homeless persons, particularly chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth. If the services and facilities are listed on screen SP-40 Institutional Delivery Structure or screen MA-35 Special Needs Facilities and Services, describe how these facilities and services specifically address the needs of these populations.

Homeless Veterans - Our CoC Chair did research on veteran's behavioral health issues related to homelessness and has presented this work at community meetings to raise awareness and encourage local providers to reach out and serve veterans who return to our CoC and experience mental health, substance abuse, and family problems that can result in homelessness. Our Municipal Housing Authority has implemented a Homeless Street Outreach program with Americorps members to identify homeless individuals with the goal of sending them through a coordinated intake process. The Utica Center for Development specializes in working specifically with homeless or at-risk veterans.

Chronically homeless persons with a serious mental health disability:

The need for supportive housing for chronically homeless persons with a serious mental health disability in our CoC is still strong. Unmet housing needs for this population have grown dramatically as our stock of affordable SRO housing has declined in the community. Our efforts resulted in a HOME grant from the City of Utica to rehabilitate two properties and provide 8 units of permanent supportive housing to serve this population.

Youth supportive housing:

Youth age 16-21 is a significant portion of our local homeless population and are a particular challenge to locate and serve because they often make efforts to avoid local service providers, even when homeless. In the past year, we have opened the first supportive housing program (Grady's Way) for homeless boys and teen males in Utica.

MA-35 Special Needs Facilities and Services – 91.210(d)

Introduction

During previous Community Needs Assessment roundtable discussions, a number of various supportive housing needs and services were identified. This section of the City of Utica’s 2020 – 2024 Consolidated Plan briefly discusses those needs and actions taken to date.

The City of Utica is home to a significant number of persons with disabilities, particularly those suffering from mental health illness. Up until recently, the State of New York operated mental health facilities within the City of Utica that provided supportive services to these individuals and their families. Budget crunches at the State level, however, resulted in those facilities being consolidated in other parts of the State, leaving the mentally ill with very few alternatives.

Including the elderly, frail elderly, persons with disabilities (mental, physical, developmental), persons with alcohol or other drug addictions, persons with HIV/AIDS and their families, public housing residents and any other categories the jurisdiction may specify, and describe their supportive housing needs

As noted above, the most significant population in needs of supportive services is persons with disabilities, particularly those suffering from mental illness. With many veterans now returning from active duty overseas, many of them also suffer from psychological problems. In 2012, the State of New York closed all three adult wards at the Mohawk Valley Psychiatric Center in Utica, moving one to Syracuse and leaving only pediatric beds in the City of Utica.

One of the roundtable discussions during the City’s Community Needs Assessment focused on housing and a number of the participants identified housing for the mentally ill as being especially necessary. The New York Association of Psychiatric Rehabilitation Services lists steadily-rising supported and congregate housing costs as a top legislative priority for 2020. Governor Cuomo’s 2020-2024 budget invests \$7.8 billion for 44,000 supportive housing units, 77,000 shelter beds, and other homelessness-related activities.

Relative to the other special needs populations, as defined by HUD, the City does not have as pressing a need to address supportive housing needs for the elderly, frail elderly, persons with HIV/AIDS or public housing residents.

Describe programs for ensuring that persons returning from mental and physical health institutions receive appropriate supportive housing

A number of service providers within the Oneida and Madison County Continuum of Care provide access to "Shelter Plus Care" vouchers, which are designed to maintain stable housing for low-income

individuals with current substance abuse and/or mental health diagnosis. These vouchers are targeted toward individuals who are homeless and have a documented status of homeless per the U.S. Department of Housing and Urban Development (HUD). Shelter Plus Care provides case management services including an Individualized Service Plan (ISP) and monthly home visits. Participants will be linked to further community supports as well as Section 8 housing. Assists the recovery process by ensuring housing is maintained through monthly rental subsidies and security deposits as needed.

Specify the activities that the jurisdiction plans to undertake during the next year to address the housing and supportive services needs identified in accordance with 91.215(e) with respect to persons who are not homeless but have other special needs. Link to one-year goals. 91.315(e)

N/A

For entitlement/consortia grantees: Specify the activities that the jurisdiction plans to undertake during the next year to address the housing and supportive services needs identified in accordance with 91.215(e) with respect to persons who are not homeless but have other special needs. Link to one-year goals. (91.220(2))

Given the breadth of the problem and the limited amount of funding available to the City, the ability to make huge strides in addressing the problem in a year's time is limited. However, the City has allocated a limited amount of Community Development Block Grant funding to the Center for Family Life and Recovery, Inc., which provides services to those suffering from mental illness.. See AP-Goals: CD3 - Public Services

Additionally, the New Construction of Rental Housing for the Roosevelt Residence development (\$500,000 in HOME funds) will fully-open in early 2020. This housing development project has allocated 8 units to persons with special needs and 10% of the units will be fully accessible for persons with disabilities. See AP - Goals: HS-1: Housing Construction.

MA-40 Barriers to Affordable Housing – 91.210(e)

Negative Effects of Public Policies on Affordable Housing and Residential Investment

Availability of Affordable and Suitable Housing

There are more than 200 families on the waiting list for Section 8 housing in Utica. These families are forced to rent substandard housing while waiting for assistance. Additionally, there are 5,830 households described as earning less than 30% AMI but only approximately 2,000 units that are affordable for such extremely low income populations.

Gentrification

The City expects that the anticipated demands for urban living spaces associated with the NANO Utica project will raise housing costs and reduce the availability of rental housing in Downtown Utica. The “loft” apartment trends may negatively affect minorities, refugees and immigrant populations seniors, persons with disabilities, and single parent households who currently reside in the center city to be close to services and transportation.

MA-45 Non-Housing Community Development Assets – 91.215 (f)

Introduction

In considering priorities for allocation of CDBG funds to address non-housing community development needs, the City of Utica is cognizant of the need to prepare its workforce to impending employment opportunities resulting from the State’s investment in Nano Utica. This section describes the City’s workforce, analyzes current employment trends and sets forth the basis for allocation of CDBG funds during the 2020-2024 Consolidated Plan period.

Economic Development Market Analysis

Business Activity

Business by Sector	Number of Workers	Number of Jobs	Share of Workers %	Share of Jobs %	Jobs less workers %
Agriculture, Mining, Oil & Gas Extraction	45	0	0	0	0
Arts, Entertainment, Accommodations	2,238	2,400	13	10	-3
Construction	382	528	2	2	0
Education and Health Care Services	5,646	12,094	32	49	17
Finance, Insurance, and Real Estate	1,184	1,208	7	5	-2
Information	395	267	2	1	-1
Manufacturing	2,316	2,084	13	8	-5
Other Services	716	754	4	3	-1
Professional, Scientific, Management Services	935	1,414	5	6	1
Public Administration	0	0	0	0	0
Retail Trade	2,478	2,508	14	10	-4
Transportation and Warehousing	645	594	4	2	-2
Wholesale Trade	615	780	3	3	0
Total	17,595	24,631	--	--	--

Table 40 - Business Activity

Data Source: 2011-2015 ACS (Workers), 2015 Longitudinal Employer-Household Dynamics (Jobs)

Labor Force

Total Population in the Civilian Labor Force	27,085
Civilian Employed Population 16 years and over	23,795
Unemployment Rate	12.12
Unemployment Rate for Ages 16-24	24.09
Unemployment Rate for Ages 25-65	7.70

Table 41 - Labor Force

Data Source: 2011-2015 ACS

Occupations by Sector	Number of People
Management, business and financial	3,900
Farming, fisheries and forestry occupations	1,215
Service	3,540
Sales and office	5,625
Construction, extraction, maintenance and repair	1,200
Production, transportation and material moving	1,355

Table 42 – Occupations by Sector

Data Source: 2011-2015 ACS

Travel Time

Travel Time	Number	Percentage
< 30 Minutes	18,565	83%
30-59 Minutes	3,100	14%
60 or More Minutes	810	4%
Total	22,475	100%

Table 43 - Travel Time

Data Source: 2011-2015 ACS

Education:

Educational Attainment by Employment Status (Population 16 and Older)

Educational Attainment	In Labor Force		Not in Labor Force
	Civilian Employed	Unemployed	
Less than high school graduate	2,385	405	2,815

Educational Attainment	In Labor Force		Not in Labor Force
	Civilian Employed	Unemployed	
High school graduate (includes equivalency)	5,000	890	2,955
Some college or Associate's degree	6,855	715	2,345
Bachelor's degree or higher	4,110	270	685

Table 44 - Educational Attainment by Employment Status

Data Source: 2011-2015 ACS

Educational Attainment by Age

	Age				
	18–24 yrs	25–34 yrs	35–44 yrs	45–65 yrs	65+ yrs
Less than 9th grade	150	520	610	1,305	1,410
9th to 12th grade, no diploma	1,030	1,010	905	1,255	1,050
High school graduate, GED, or alternative	1,880	2,130	1,870	4,850	3,435
Some college, no degree	3,170	2,055	1,280	2,965	1,495
Associate's degree	580	925	880	1,815	500
Bachelor's degree	495	1,275	585	1,550	730
Graduate or professional degree	45	545	355	780	505

Table 45 - Educational Attainment by Age

Data Source: 2011-2015 ACS

Educational Attainment – Median Earnings in the Past 12 Months

Educational Attainment	Median Earnings in the Past 12 Months
Less than high school graduate	17,799
High school graduate (includes equivalency)	21,490
Some college or Associate's degree	28,066
Bachelor's degree	35,525
Graduate or professional degree	49,905

Table 46 – Median Earnings in the Past 12 Months

Data Source: 2011-2015 ACS

Based on the Business Activity table above, what are the major employment sectors within your jurisdiction?

Based on the populated tables above, the major employment sectors within the City of Utica are 1) education & healthcare, 2) Retail Trade, 3) Manufacturing, and 4) Arts, Entertainment and

Accommodations. Though not reflected for whatever reason in the tables, government employees make up a significant percentage of the workforce as well, given that the City is the County seat and, as such, is home to federal, state and county offices, in addition to its own municipal offices.

Describe the workforce and infrastructure needs of the business community:

One of the biggest needs for the City's workforce is increased educational attainment by our residents. Of the 23,795 civilians employed in the workforce, a meager 17% has fulfilled the requirements necessary to earn a bachelor's degree. Though the City of Utica is a 'college town', home to Utica College, Mohawk Valley Community College, Utica School of Commerce, Pratt Institute at Munson-Williams and the St. Elizabeth School of Nursing (not to mention the fact that the campuses of SUNY Polytechnic Institute and Hamilton College sit in close proximity to the City of Utica), City residents are clearly unprepared for employment opportunities that require completion of a bachelor's degree.

Beyond the formal training provided in a collegiate setting, many City residents from low- to moderate-income households also lack the life skills training necessary to compete for employment opportunities in today's current job market. Several generations of poverty and pervasive unemployment have left the City's youngest residents without the knowledge and skills to make the first step toward entering the workforce.

Finally, due to the high number of immigrants and refugees, English language skills present difficulties for many City residents and a hurdle to obtaining gainful employment.

Describe any major changes that may have an economic impact, such as planned local or regional public or private sector investments or initiatives that have affected or may affect job and business growth opportunities during the planning period. Describe any needs for workforce development, business support or infrastructure these changes may create.

The biggest change that will undoubtedly have an impact on the City's economy is Nano Utica. Nano Utica is the name given to the State's billion-dollar investment in nanotechnology in Marcy, a suburb of Utica. Construction on a \$150 million dollar building on the campus of SUNY Polytechnic Institute known as 'Quad C' (which stands for the Computer Chip Commercialization Center) opened several years ago and is occupied by Danfoss Silicon Power, a technology company that has operations in Flensburg, Germany in addition to the Utica location. The project employment target is the creation of nearly 2,000 high-tech, high-paying jobs and hundreds of additional, spin-off jobs in the service sector.

Beyond Quad C, however, the region worked tirelessly for the past decade to attract a chip fab plant on a vacant parcel of land adjacent to Quad C. The State's vision is that Quad C will perform the research into the field of nanotechnology, while actual manufacturing of nanotechnology products will be done at the chip fab plant. In 2019, it was announced that Cree, Inc., a Durham, North Carolina company would build the "world's largest silicon carbide fabrication facility" at the Marcy site, a \$500,000,000 investment expected to create 614 direct jobs within 8 years.

For the past several decades, it was a foregone conclusion that the region's youth would graduate from local high schools, go on to college in other parts of the State or the country and never return to settle down as there were no meaningful employment opportunities to which to return. Nano Utica has the potential to create that necessary paradigm shift. However, a greater focus on STEM (Science, Technology, Engineering, Mathematics) starting in grade school through high school is necessary throughout the region, and in the City of Utica, in particular, is necessary to encourage young people to see the potential for employment in those fields locally.

Additionally, in terms of infrastructure needs to support these jobs, appropriate housing options are critical if this City, and this region, are to capture and retain these high-paying, highly educated people within our community. Many of these people will be seeking housing in a hip, urban setting such as that which can be provided by renovating the upper floors of many existing buildings in downtown Utica. Local developers were initially slow to appreciate the vast potential market that will soon be searching for loft-style apartments, however the past several years have brought the redevelopment of numerous downtown buildings for mixed-use occupation, including lofts and urban apartments.

How do the skills and education of the current workforce correspond to employment opportunities in the jurisdiction?

As stated earlier, the current workforce that calls Utica home lacks the education necessary to compete for the high-technology employment opportunities that will be made available as a result of Nano Utica. They may be better suited for the numerous employment opportunities in the service and retail sectors that result from spin-offs from Nano Utica. However, securing even those jobs will likely require a greater level of life skills and job-readiness training.

Describe any current workforce training initiatives, including those supported by Workforce Investment Boards, community colleges and other organizations. Describe how these efforts will support the jurisdiction's Consolidated Plan.

With the Nano Utica initiative gaining speed, Oneida County Executive Anthony J. Picente, Jr. launched an initiative that he called 'Vision 2020' which involved convening 3 committees to research and develop a plan focused on positive change for Oneida County. The intent was for the plan that resulted to be a blueprint for a first-class workforce, enhanced housing and accessible job opportunities.

One of the 3 committees that was convened focused strictly on issues tied to education and training. Howard Mettleman, District Superintendent of Oneida-Herkimer-Madison BOCES chaired this committee. Alice Savino, Executive Director of the Workforce Investment Board, was a member of this committee.

This committee's plan involves the following goals:

- Ensure that 100% of the over 34,000 K-12 students in Oneida County are competitively prepared to enter the workforce.
- Ensure that 100% of Oneida County community members are aware of the career opportunities in our region.
- Educate men and women for leadership in their professions and communities, and meet the workforce needs of Oneida County
- Expand Oneida County’s capacity for economic sustainability and build upon its long tradition of the entrepreneurial spirit.
- Create a culture of optimism and engagement that fosters workforce and economic growth the prosperity.
- Ensure that unique training and program offerings meet business and industry demands.
- Attract and assist businesses to locate, grow and prosper in Oneida County and promote our region’s people, workforce and quality of life.

Does your jurisdiction participate in a Comprehensive Economic Development Strategy (CEDS)?

Yes

If so, what economic development initiatives are you undertaking that may be coordinated with the Consolidated Plan? If not, describe other local/regional plans or initiatives that impact economic growth.

Discussion

As detailed above, the State’s investment in the Nano Utica initiative holds incredible promise for the future of the City of Utica over the period of time covered by this 2020-2024 Consolidated Plan. But the City of Utica’s workforce must be prepared for the opportunities that are due to be presented to them. CDBG funds available to the City can help lay the groundwork for a small piece of this preparation, but leveraging of those shrinking dollars together with establishing critical partnerships such as with Oneida County’s *Vision 2020* will help those dollars go further.

Early literacy programs like those operated by the Utica Public Library or tutoring/mentorship programs like the Utica College Young Scholars are vital to laying the foundation to a lifetime of education that will prepare one for a career in a high-tech field. But more must be done, including expansion of incubators and adding life skills and job readiness training.

MA-50 Needs and Market Analysis Discussion

Are there areas where households with multiple housing problems are concentrated? (include a definition of "concentration")

Concentration is defined as census tracts in which more than 50% of the households are reported as having 1 or more serious housing problem. In analyzing the data within section MA-20: Condition of Housing, it is evident that there are several areas within the City of Utica that experience a concentration of housing problems. The majority of the concentration exists within the West Utica and the Cornhill Neighborhood, with the most significant concentration (70-80%) in CT# 021201.

Are there any areas in the jurisdiction where racial or ethnic minorities or low-income families are concentrated? (include a definition of "concentration")

Concentration is defined as census tracts in which more than 50% of the households are reported as being racially diverse or a low to moderate income household.

With regard to racial concentrations, as discussed in NA-30 Disproportionately Greater Need: Discussion, there is some concentration of racial or ethnic minorities within certain census tracts. For Black/African American households the largest concentration is within the most centrally located census tract in the Cornhill neighborhood, CT# 021500 in which 32.4%-47.2% of the households identify as Black/African American. Asian households demonstrate a slight concentration in the eastern portion of the Cornhill neighborhood with CT# 021202 reporting the largest concentration (23.2%-42.2%) of Asian households. Hispanic households do not demonstrate significant concentration within any census tract, with most census tracts reporting between 6.3% and 27.3% of the households identifying as Hispanic. CT# 02083, which is located in the Lower East Utica section of the jurisdiction, is nearing concentration for Hispanic households, identifying between 19.5% and 35.1% of the households within the census tract, which is nearing the definition of concentration.

With regard to low-moderate income households, there is significant concentration within Lower East Utica, Central Cornhill, and Downtown all of which report having a concentration of low/moderate income housing that is equal to or greater than 65% of the households.

What are the characteristics of the market in these areas/neighborhoods?

For all of the aforementioned areas, the housing market consists primarily of rental units, with all census tracts reporting less than 32% owner occupied units. Vacancy rate within the areas is low to moderate, with most census tracts showing vacancy rates between 12%-32%. The median contract rent for most of the census tracts is between \$415.00 and \$752, with, CT# 020300 and CT# 021000 all reporting 50% or more of contract rents being less than \$500.00.

Are there any community assets in these areas/neighborhoods?

The Cornhill and West Utica neighborhood, where the greatest concentration of households with multiple housing problems resides along with being the areas of highest minority concentration, are largely residential neighborhoods. Each of the neighborhoods has their own neighborhood schools, which are potential community assets, though both struggle with test scores and attendance. Both neighborhoods also have small commercial areas, though James Street in Cornhill is more focused on neighborhood commercial activity, while West Utica is bound by the N/S Arterial and Oriskany Boulevard which serve customers beyond merely the West Utica neighborhood. Each of the neighborhoods also has their own parks, though the Addison Miller park in West Utica draws people from beyond just West Utica.

Truly, the assets of both communities are the people that reside within each. The Cornhill and West Utica neighborhoods are two of the most active neighborhood groups in the City. Their monthly meetings are better attended, on average, than any other neighborhood in the City of Utica.

Are there other strategic opportunities in any of these areas?

As noted above, both the Cornhill and West Utica neighborhood are primarily residential neighborhoods. Both are extremely densely populated and developed – very little green space exists for new development. Very little space is devoted to anything but residential uses. The sole strategic opportunity is in redeveloping the residential space that is in those neighborhoods. In Cornhill, this has been going on for the last 15 years – since the Utica Municipal Housing Authority was awarded over \$10 million in a HOPE VI grant. As part of that effort, the City and other housing providers have invested millions to renovate the existing housing for both rental and homeownership. In 2017, ground was broken on Roosevelt Residences, a \$14 million project in Cornhill that replaced a collapsing school building, several condemned homes and a number of vacant lots on scattered sites with 2-family rental houses operated by the MHA. 50 units have been developed with the majority occupied as of April 1, 2020 and a growing waitlist of over 200 people demonstrating the need for sustainable housing in the Cornhill neighborhood. While that investment was being made in Cornhill, however, very little was being invested in West Utica.

The existing housing stock in West Utica is not built of the same quality as that in Cornhill. The housing stock in West Utica was built to house mill workers and is of much poorer quality. Investment in housing in West Utica will be much more difficult, more costly and a slower process than the investment that Cornhill has witnessed for the last decade. Acquisition, consolidation and demolition followed by extensive new construction must be a part of the plan, as demonstrated by the Roosevelt Project.

MA-60 Broadband Needs of Housing occupied by Low- and Moderate-Income Households - 91.210(a)(4), 91.310(a)(2)

Describe the need for broadband wiring and connections for households, including low- and moderate-income households and neighborhoods.

low and moderate-income households may lack access to broadband services, largely due to cost, in Utica's poorest neighborhoods. A basic broadband connection price ranges between \$35 and 49 per month with no other services (phone/cable). As shelter, food, medical and other expenses add up, access to broadband internet may not be affordable. Newer rental housing projects constructed in Utica have been offering utility allowances in order to make utility expenses more affordable, and some have been offering access to free broadband within computer labs onsite for residents to use. These can be used to assist in maintaining bill payments, educational opportunities and research, communication, and other functions. In the years between 2020 and 2024, access to broadband is expected to play a large role in how many daily functions are conducted (especially with much of the world in social isolation or under stay-at-home orders due to the COVID-19 coronavirus pandemic, forcing many to work or learn from home using broadband connections).

Describe the need for increased competition by having more than one broadband Internet service provider serve the jurisdiction.

in 2018, NY-22 Congressional Candidate Anthony Brindisi won the general election on a campaign promise of holding Spectrum (Charter Communications and Time Warner Cable merger) accountable for lack of progress made on expanding broadband access to rural areas and keeping rates affordable for residents of the district. In the years that have followed, little progress has been made, and access to broadband internet is still inconsistent and at times out of financial reach for many. Increase competition could fill these gaps in coverage as well as force prices to be more competitive.

MA-65 Hazard Mitigation - 91.210(a)(5), 91.310(a)(3)

Describe the jurisdiction's increased natural hazard risks associated with climate change.

Zoning code changes are being negotiated and implemented as part of the 2020-2021 Program Year. Additionally, building codes are being updated to ensure structural stability in increasingly-damaging climate events. In response to increased flooding in areas of Genesee Street around the Harbor and the Mohawk River, several new structures erected within the past decade have raised the ground level of the property before constructing any new structures. As a result, during the most-recent flooding events in October 2019, the buildings constructed on the newly-raised elevations remained above the water level while all other buildings were flooded.

Describe the vulnerability to these risks of housing occupied by low- and moderate-income households based on an analysis of data, findings, and methods.

The majority of housing stock within the City of Utica is not located within a flood plain, and is not likely to be affected by rising water levels. Neighborhoods that border streams, creeks or rivers are at an increased-risk of flooding, as 100-year floods are now occurring up to several times per year. Local and State governments are currently looking into potential solutions for people who are likely to be at-risk.

Strategic Plan

SP-05 Overview

Strategic Plan Overview

Through a comprehensive planning process that included input from public, private, not-for profit agencies, organizations, residents (including high school students), the City of Utica created a five year strategy for the Consolidated Plan that sets general priorities for allocating its anticipated entitlement grant funds. The Strategic Plan describes how the priorities were identified, the obstacles to meeting underserved populations, and the accomplishments that the administration expects to achieve over the next five years from 2020-2024 relating to

- Housing
- Homelessness
- Special needs
- Community development
- Economic development

A minimum of 70% of CDBG funding must be used to principally benefit low and moderate income populations and neighborhoods. In Utica, the principles of the Consolidated Plan include:

Targeted Assistance – the City will target its funding and planning to improve neighborhoods for enhanced impact.

Community Engagement – the City will focus on organizing and empowering community members to get involved in the implementation of projects and programs and to provide the critical input necessary for them to have ownership and influence in the resulting benefits.

Collaboration – the City will continue to collaborate with and engage those who assisted with the Community Needs Assessment process. As indicated in the plan, task forces will assist the City to study and make recommendations regarding changing priority needs that are not being adequately addressed.

Leveraging of Resources – The City will focus on projects that have potential for other public and private funding as well as in-kind resources from residents, organizations and academic institutions.

How priorities were determined:

Research and Census data

Existing planning documents

Consultations with City staff

District stakeholder meetings

Public hearings

Community surveys

Consultations with service providers

Consultations with community and economic development agencies

Other key factors taken into consideration:

- Locations with the greatest concentration of low-income households (i.e. Downtown, Cornhill, West Utica)
- Activities that can help the most vulnerable while making a difference to all City residents
- Limited amount of funding available to meet huge and changing needs
- Activities that have other potential funding streams to leverage entitlement funds

SP-10 Geographic Priorities – 91.215 (a)(1)

Geographic Area

Table 47 - Geographic Priority Areas

1	Area Name:	City of Utica CDBG Target Area
	Area Type:	Local Target area
	Other Target Area Description:	
	HUD Approval Date:	
	% of Low/ Mod:	
	Revital Type:	Comprehensive
	Other Revital Description:	
	Identify the neighborhood boundaries for this target area.	See attached JPEG

<p>Include specific housing and commercial characteristics of this target area.</p>	<p>The City of Utica CDBG Target Area varies is comprised almost entirely of the City’s West Utica neighborhood and the Cornhill neighborhood, divided by Genesee Street, the City’s “Main Street”. The Downtown neighborhood is also located within the CDBG Target Area and acts to divide West Utica from Cornhill.</p> <p>The characteristics of the housing and commercial properties within the West Utica and Cornhill neighborhoods are vastly different. The housing in Cornhill is well constructed, built for some of the City’s first and most affluent families. The housing in West Utica was constructed later and are less structurally sound; these homes were largely built quickly as the City was expanding to accommodate mill workers and their families. Housing in the downtown neighborhood has changed with the times. At its heyday, the upper floors of many downtown buildings were used for residential purposes, interspersed among offices. As downtown activity dwindled in the 1960’s into the twenty-first century, residents fled downtown as part of either urban renewal or a preference for suburban living, leaving those that could not afford to move as the sole downtown residents. Only within the last decade has residential development seen an uptick. While many new developments have been focused on upscale loft apartments, affordable housing developments are not unheard of downtown.</p> <p>Commercially, downtown is very strong. Ground-floor space that was vacant for many years until recently is now almost fully occupied throughout downtown. The upper floors of many downtown buildings are beginning to house offices again, as well. Downtown remains the core of commercial activity in the City of Utica. Commercial activity in Cornhill and West Utica is largely reserved for small, neighborhood commercial uses, such as small grocery stores or convenience stores.</p>
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<p>How did your consultation and citizen participation process help you to identify this neighborhood as a target area?</p>	<p>One of the comments made during the public meetings held this year was to ask the City to move its façade program to other areas of the City, particularly within the CDBG Target Area. For the past four years, the City has focused its commercial façade program on Bleecker Street and Genesee Street, both within the downtown neighborhood. As a result of the comment, the City will shift its focus to other areas of the downtown neighborhood and the area of West Utica surrounding the new MVHS Integrated Health Campus</p>
<p>Identify the needs in this target area.</p>	<p>Needs within the City’s CDBG Target Area are many. Infrastructure needs top the list with street reconstruction and replacement of aging, decaying utilities as priority projects. Commercially, the James Street area of Cornhill and Columbia Square in West Utica desperately need attention, but continue to lack any significant level of private redevelopment interest that would make an infusion of the CDBG funds worthwhile. The Oriskany Boulevard/Erie Street corridor has started to see private redevelopment interest but will require brownfield funding in order to continue the momentum. From the perspective of housing, Cornhill has seen significant investment – considerable demolition/clearance followed by a generous mix of new construction and rehabilitation. West Utica now requires the same kind of multi-year, focused attention. Fewer properties in West Utica come to the City in any given year through the tax foreclosure process, thereby requiring acquisition as part of any redevelopment scheme.</p>

<p>What are the opportunities for improvement in this target area?</p>	<p>As noted in other areas of this Plan, there are a number of high-profile, high-impact projects currently under construction in West Utica, Downtown and Cornhill. In West Utica, the redevelopment of the former City-owned Indoor Auto site to accommodate the relocation of the Fitness Mill from New York Mills along with the mixed-income, residential redevelopment of the Globe Mill complex are positives for the neighborhood and opportunities for further redevelopment. Downtown, the nearly \$500 million MVHS project combined with the \$44 million Nexus project across the street bode well for the future vitality of downtown and will surely result in additional commercial and residential development in the surrounding area. In Cornhill, projects like the Roosevelt Residences will also encourage future redevelopment.</p>
<p>Are there barriers to improvement in this target area?</p>	<p>The most significant barrier to improvement is availability of funds – both private and public dollars. The City of Utica’s CDBG Target Area covers a large area of the City and available funds will be spread thin, particularly now in light of the coronavirus pandemic.</p>

General Allocation Priorities

Describe the basis for allocating investments geographically within the jurisdiction (or within the EMSA for HOPWA)

Throughout the duration of the 2020 – 2024 Consolidated Plan, the City of Utica will focus the majority of its Community Development Block Grant, HOME Investment Partnership and Emergency Solutions Grant funds within the CDBG Target Area. The City’s CDBG Target Area encompasses those areas of the City where at least 51% of the residents have a household income that is at 80% or lower than the Area Median Income (AMI).

Within the larger CDBG Target Area, however, the City will prioritize several key areas.

As has been noted in previous Annual Action Plans, the City will continue to focus on the West Utica neighborhood. For the past two decades, the City has allocated and expended considerable resources in the City’s Cornhill neighborhood. From the millions of dollars spent on housing under the HOPE VI initiative in the early 2000’s to the most recent Roosevelt Residences project, this focus has drawn attention and funding from the West Utica neighborhood. With recent projects like the Globe Mill housing project and commercial projects like the relocation of the Fitness Mill from New York Mills to

Erie Street in West Utica, however, it is clear that the use of federal entitlement monies can leverage private development funds in West Utica.

On the periphery of the West Utica neighborhood, a second area that will be a focus for the City in the 2020 – 2024 Consolidated Plan term is the area that surrounds the new Integrated Health Campus being constructed by Mohawk Valley Health Systems (MVHS). This new \$485 million facility, being built as this plan is being drafted, will truly transform the downtown Utica neighborhood in a way that most Uticans have not seen in their lifetime. To truly make a lasting impact, the City of Utica will look to utilize its federal entitlement monies to improve surrounding streetscapes, create housing for the L/M employees at the hospital and create employment opportunities for the City's L/M residents for the support services that wish to be located near the hospital.

On the eastern side of the new hospital, the City will continue to emphasize its downtown neighborhood. Having recently completed a Downtown Vision Plan in collaboration with The Community Foundation of Herkimer & Oneida Counties, Downtown Utica was the recipient of a November 2019 award of \$10 million from Governor Cuomo through his Downtown Revitalization Initiative; those funds will leverage tens of millions more in private and not-for-profit investment in individual projects. The City will utilize its federal entitlement monies in support of those investments, where appropriate and applicable.

City of Utica, NY
CDBG TARGET AREA
[COMMUNITY DEVELOPMENT BLOCK GRANTS]



SP-25 Priority Needs - 91.215(a)(2)

Priority Needs

Table 48 – Priority Needs Summary

1	Priority Need Name	Housing
	Priority Level	High
	Population	Extremely Low Low Moderate Large Families Families with Children Elderly Public Housing Residents
	Geographic Areas Affected	City of Utica CDBG Target Area
	Associated Goals	Housing
	Description	Increase the supply of healthy and affordable single and multi-family housing and linked housing services for extremely low and low- and moderate-income residents - with a focus on new construction, rehabilitation and whole neighborhood revitalization including housing code revisions to meet the demands for urban living.
	Basis for Relative Priority	The 2015 CNA determined the need for decent, safe and affordable housing. Oneida County had reduced its number of children with the highest levels of lead poisoning by 72% since 2006; The current number, however, hasn't been fully identified, as the allowable lead levels in the blood of children has been lowered from 10 micrograms per deciliter to 5 micrograms per deciliter. This change increases the number of children considered highly at-risk. Changes are being made in target neighborhoods through abatement and rehabilitation projects through a \$3.5 million HUD lead paint hazard reduction grant awarded in 2019. However, the area still has some of the highest rates in the state with over 60% of the homes built before 1950. The influx of refugee families has increased the need for large family housing in the CDBG Target Area as well as fair housing education. Code revisions are necessary to enable feasible conversions of older building to meet modern housing needs.
2	Priority Need Name	Homelessness

	Priority Level	High
	Population	Low Moderate Middle Large Families Families with Children Elderly Chronic Homelessness Individuals Families with Children Mentally Ill Chronic Substance Abuse veterans Victims of Domestic Violence Unaccompanied Youth Elderly Frail Elderly Persons with Mental Disabilities Persons with Physical Disabilities Persons with Developmental Disabilities Persons with Alcohol or Other Addictions
	Geographic Areas Affected	City of Utica CDBG Target Area
	Associated Goals	Homelessness
	Description	There is a need for housing and support services for homeless persons and persons at-risk of becoming homeless.
	Basis for Relative Priority	Consultations with the CoC & agencies.
3	Priority Need Name	Other Special Needs
	Priority Level	High

	Population	Extremely Low Low Moderate Large Families Families with Children Elderly Public Housing Residents Elderly Frail Elderly Persons with Mental Disabilities Persons with Physical Disabilities Persons with Developmental Disabilities Victims of Domestic Violence Non-housing Community Development
	Geographic Areas Affected	City of Utica CDBG Target Area
	Associated Goals	Other Special Needs
	Description	There is a growing critical need for housing with support services (employment, mental health, emergency food and childcare, etc.) with a focus on the frail elderly, those with drug and other addictions, victims of domestic abuse, and the mentally ill.
	Basis for Relative Priority	CoC, housing data and the 2015 CNA
4	Priority Need Name	Community Development
	Priority Level	High

	Population	Extremely Low Low Moderate Middle Large Families Families with Children Elderly Public Housing Residents Elderly Frail Elderly Persons with Mental Disabilities Persons with Physical Disabilities Persons with Developmental Disabilities Persons with Alcohol or Other Addictions Persons with HIV/AIDS and their Families Victims of Domestic Violence Non-housing Community Development
	Geographic Areas Affected	City of Utica CDBG Target Area
	Associated Goals	Community Development
	Description	There is a critical need to provide community facilities, public infrastructure, public social/welfare services, food programs, public safety, environmental design and clearance programs.
	Basis for Relative Priority	2015 CNA, Surveys and Public Meetings
5	Priority Need Name	Economic Development
	Priority Level	High

	Population	Extremely Low Low Moderate Middle Large Families Families with Children Elderly Public Housing Residents Non-housing Community Development
	Geographic Areas Affected	City of Utica CDBG Target Area
	Associated Goals	Economic Development
	Description	There is a continuing need for planning, administration, management, and oversight of federal, state, and local funded programs.
	Basis for Relative Priority	City Staff, Staff Evaluations
6	Priority Need Name	Administration, Planning and Management
	Priority Level	High
	Population	Non-housing Community Development
	Geographic Areas Affected	City of Utica CDBG Target Area
	Associated Goals	Administration, Planning and Management
	Description	There is a continuing need for planning, administration, management, and oversight of federal, state, and local funded programs.
	Basis for Relative Priority	City Staff, Staff Evaluations

Narrative (Optional)

SP-30 Influence of Market Conditions – 91.215 (b)

Influence of Market Conditions

Affordable Housing Type	Market Characteristics that will influence the use of funds available for housing type
Tenant Based Rental Assistance (TBRA)	At this time, the City does not anticipate allocating HOME or CDBG tenant-based rental assistance. We anticipate that all housing resources will be used for acquisition, new construction and rehabilitation. Rental assistance is provided through other grant funding including Supportive (Living) Housing Programs and Shelter Plus Care and other partners.
TBRA for Non-Homeless Special Needs	At this time, there is no plan to utilize HOME or CDBG for permanent tenant-based rental assistance for Non-Homeless Special Needs. Rental assistance is provided through other grant funding including Supportive (Living) Housing Programs and Shelter Plus Care. Transitional rental assistance is provided through State-funded partners
New Unit Production	There are numerous vacant sites in the City for new infill housing construction and for new rental construction with opportunities to create more accessible units for special needs populations. The City’s goal is to promote the creation and/or preservation of 250+ units during program years 2020 through 2024 utilizing private funding and funding from a variety of Federal, State and Local sources including Low-Income Housing Tax Credits, HOME, CDBG, and Tax Increment Financing. An additional production goal is to create/preserve 150 units for low- moderate income individuals and families.
Rehabilitation	Neighborworks, NYSEDA and National Grid provide funding to improve and preserve homes through rehabilitation and energy updates using private and public funding including AHC and Low Income tax credits. In addition, the City received a \$3.5 million Lead Paint Hazard Reduction grant from HUD to rehabilitate 180 housing units. The City anticipates that 330+ homes will be rehabilitated during 2020-2024.
Acquisition, including preservation	As the City focuses on neighborhood development strategies, it is becoming a priority to rehabilitate and preserve the buildings to preserve the unique urban fabric of the City.

Table 49 – Influence of Market Conditions

SP-35 Anticipated Resources - 91.215(a)(4), 91.220(c)(1,2)

Introduction

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	2,567,049	280,000	0	2,847,049	10,000,000	Funds will be used for community and economic development initiatives in low-and moderate income neighborhoods, including affordable housing, housing preservation, public services for at-risk populations and public infrastructure improvements

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	658,390	0	0	658,390	2,600,000	HOME funds will be used to develop affordable housing for low income families, including new construction and rehabilitation of single- and multi-family units.

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: \$		
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	215,750	0	31,730	247,480	840,000	ESG funds will be used to assist homeless individuals with shelter services, transitional housing, and rapid re-housing services.
Other	public - federal	Other	743,966	0	0	743,966	0	ESG-CV funds to be used to prevent, prepare for, and respond to coronavirus

Table 50 - Anticipated Resources

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

The City of Utica has grown adept at leveraging its scarce resources for its priority projects to secure additional sources of funding. For the past several years and for the next several years moving forward, State dollars are made available most often through Governor Cuomo’s

Consolidated Funding Application (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 services agencies indicate the source and extent of matching funds against its CDBG allocation. Additionally, financing from private sources or banks are required of any loan applicant from 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

The City of Utica is spatially constrained and highly developed. As such, there are no 'greenfields' on which new development can be planned. Therefore, economic development in the City of Utica must rely on an aggressive brownfield redevelopment program. Given the liability risk in owning such properties, the City of Utica does not own large swaths of such land. The City of Utica has historically not allocated CDBG funds to brownfield projects. However, given the obvious need at this time, funds have been allocated to such a program in the current 2020 – 2021 program year.

Discussion

SP-40 Institutional Delivery Structure – 91.215(k)

Explain the institutional structure through which the jurisdiction will carry out its consolidated plan including private industry, non-profit organizations, and public institutions.

Responsible Entity	Responsible Entity Type	Role	Geographic Area Served
City of Utica	Government	Economic Development Non-homeless special needs Planning neighborhood improvements public facilities public services	Jurisdiction
Utica Municipal Housing Authority	PHA	Public Housing	Jurisdiction
Mohawk Valley Housing and Homeless Coalition	Continuum of care	Homelessness	Jurisdiction
JOHNSON PARK CENTER	Non-profit organizations	Homelessness Non-homeless special needs	
YWCA OF THE MOHAWK VALLEY	Non-profit organizations	Homelessness Non-homeless special needs	
ICAN	Non-profit organizations	Homelessness Non-homeless special needs	
Utica Center for Development	Non-profit organizations	Homelessness Non-homeless special needs	
Rescue Mission of Utica	Non-profit organizations	Homelessness Non-homeless special needs	

Table 51 - Institutional Delivery Structure

Assess of Strengths and Gaps in the Institutional Delivery System

The City of Utica’s strength is its network of community organizations and individuals dedicated to improving the quality of life in the City. However, there are communication gaps and resulting duplications of service. Furthermore, as the County seat, a US Resettlement Committee, and the NANO

Utica site, the City struggles with limited capacity to unite efforts and provide adequate staff and resources to meet the ever growing and changing needs of the residents while trying to grow and sustain operations.

Availability of services targeted to homeless persons and persons with HIV and mainstream services

Homelessness Prevention Services	Available in the Community	Targeted to Homeless	Targeted to People with HIV
Homelessness Prevention Services			
Counseling/Advocacy	X	X	
Legal Assistance	X	X	
Mortgage Assistance	X	X	
Rental Assistance	X	X	
Utilities Assistance	X	X	
Street Outreach Services			
Law Enforcement	X		
Mobile Clinics	X		
Other Street Outreach Services	X	X	
Supportive Services			
Alcohol & Drug Abuse	X	X	
Child Care	X	X	
Education	X	X	
Employment and Employment Training	X	X	
Healthcare	X	X	
HIV/AIDS	X	X	X
Life Skills	X	X	
Mental Health Counseling	X	X	
Transportation	X	X	
Other			

Table 52 - Homeless Prevention Services Summary

Describe how the service delivery system including, but not limited to, the services listed above meet the needs of homeless persons (particularly chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth)

The above listed services meet the needs of homeless persons in many ways, particularly the most vulnerable and chronic cases. One specific way is through our housing programs, as our CoC follows the HUD Housing First Model. Within our community we have rapid rehousing assistance through Central New York Services and Municipal Housing Authority (ESG) which assists homeless clients with security deposit and up to six months’ rent. During this time the case managers will work with the client to

ensure they will be able to achieve housing stability once closed to the program. Additionally, Central New York Services has permanent supportive housing through its Shelter Plus Program. This project targets our high need homeless population who are suffering from mental health or substance abuse. This is a long-term housing program in which clients can receive assistance with rent and are continually engaged with support services. Veteran specific programs include HUD-VASH through the VA as well as Rapid Rehousing through the Central New York Veterans Outreach Center. Additionally, the Veteran Outreach Center through an ESSHI project added 7 permanent supportive housing units and 10 transitional units. Increasing the housing inventory specific for Veterans. Johnson Park Center provides special needs housing for homeless woman and children. A place where women and their families can get a new start with supportive services focused toward family reunification and the recovery process. In addition, JPC has 24 permanent supportive housing units for chronically homeless single women. Johnson Park Center will expand their services to Seniors, a current gap in services; a permanent supportive housing project is aligned for homeless seniors in the city of Utica. Rescue Mission has the West Street Apartments complex with more than 40+ affordable apartments, which includes six designated homeless units with support services. The YWCA serves many families with children fleeing Domestic Violence with the TH-RRH programs and additional BONUS funding acquire this year through HUD for Rapid Rehousing.

The City of Utica has a Street Outreach Program (ESG) with Municipal Housing Authority which works closely with the coordinated entry specialist for HMIS. It has made significant difference in our city having SOP. Homeless individuals have been identified and connected to services and permanent housing. Furthermore, Oneida County has received funds (STEHP) to begin a Street Outreach program that will specifically target those who are street homeless by HUD definition. These workers will cover all of Oneida County however with work closely with the City of Utica SOP. They will assist clients with getting into shelter, housing and engaged with appropriate services. This program will target all populations from chronically homeless to Veterans in need. Other agencies who engage in outreach include ACR Health and the CNY Veterans Outreach Center.

Our City has two transitional housing programs for youth: one for homeless young single women victim of Domestic Violence or Sexual Assault with the YWCA- safe horizons, and one for homeless youth pregnant and parenting women, Evelyn's House. Evelyn's House provides services and housing assistance to young women/ youth who are pregnant and parenting and have expanded their services to TH-RRH. TH-RRH program allows the youth to eventually obtain permanent housing with additional support services in RRH. In addition, the city of Utica has a shelter-Grady's Way for boys 12-18 years of age. Grady's Way has 11 beds and 3 permanent supportive housing apartments for Transitional Age Youth ages 18-24.

Describe the strengths and gaps of the service delivery system for special needs population and persons experiencing homelessness, including, but not limited to, the services listed above

Our key service delivery system strengths include a strong service set- including crisis, shelter and transitional housing services- for DV Victims and their children; services for veterans and their family members, and permanent supportive housing services for persons with a behavioral health disability. Our largest current service gaps include drop-in services and temporary shelter for unaccompanied and homeless youth in the City (currently have none) and extremely affordable housing for our very low-income residents who are unable to afford even \$500/month for a room or small apartment.

Provide a summary of the strategy for overcoming gaps in the institutional structure and service delivery system for carrying out a strategy to address priority needs

The City of Utica completed a Comprehensive Needs Assessment in partnership with the HUD Albany Office here in Upstate, NY in 2015, and one of our primary strategies for developing more affordable housing is to strengthen and expand our partnerships with key not-for-profit and private sector partners to develop more mixed use and affordable housing in select high-need neighborhoods.

With regard to addressing service gaps for our homeless youth population, the CoC's Runaway and Homeless Youth Task Group has developed a drop-in center and emergency housing services and has already made substantial progress including securing new space for a drop in center in Utica, and funding for our City's first homeless youth shelter, Grady's Way, which officially began taking clients in early 2020. The Continuum of Care has also established a dedicated Intake Coordinator through the United Way to process applicants to the system and direct them to needed services.

SP-45 Goals Summary – 91.215(a)(4)

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Housing	2020	2024	Affordable Housing	City of Utica CDBG Target Area	Housing	HOME: \$3,258,390	Rental units constructed: 100 Household Housing Unit Rental units rehabilitated: 100 Household Housing Unit Homeowner Housing Added: 25 Household Housing Unit Homeowner Housing Rehabilitated: 50 Household Housing Unit

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
2	Homelessness	2020	2024	Homeless	City of Utica CDBG Target Area	Homelessness	ESG: \$1,087,480 ESG-CV: \$743,966	Tenant-based rental assistance / Rapid Rehousing: 150 Households Assisted Homeless Person Overnight Shelter: 1000 Persons Assisted Overnight/Emergency Shelter/Transitional Housing Beds added: 50 Beds Housing for Homeless added: 20 Household Housing Unit
3	Other Special Needs	2020	2024	Non-Homeless Special Needs	City of Utica CDBG Target Area	Other Special Needs	CDBG: \$350,582	Other: 500 Other

4	Community Development	2020	2024	Non-Housing Community Development	City of Utica CDBG Target Area	Community Development	CDBG: \$7,927,057	<p>Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 15000 Persons Assisted</p> <p>Public Facility or Infrastructure Activities for Low/Moderate Income Housing Benefit: 100 Households Assisted</p> <p>Public service activities other than Low/Moderate Income Housing Benefit: 17500 Persons Assisted</p> <p>Public service activities for Low/Moderate Income Housing Benefit: 100 Households Assisted</p> <p>Facade treatment/business building rehabilitation: 50 Business</p> <p>Brownfield acres remediated: 20 Acre</p> <p>Businesses assisted: 20 Businesses Assisted</p>
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Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
								Buildings Demolished: 20 Buildings
5	Economic Development	2020	2024	Economic Development	City of Utica CDBG Target Area	Economic Development	CDBG: \$2,000,000	Businesses assisted: 30 Businesses Assisted
6	Administration, Planning and Management	2020	2024	Administration	City of Utica CDBG Target Area	Administration, Planning and Management	CDBG: \$2,569,410	Other: 1 Other

Table 53 – Goals Summary

Goal Descriptions

1	Goal Name	Housing
	Goal Description	Increase the supply of healthy and affordable single and multi-family housing and linked housing services for extremely low and low- and moderate-income residents - with a focus on new construction, rehabilitation and whole neighborhood revitalization including housing code revisions to meet the demands for urban living.
2	Goal Name	Homelessness
	Goal Description	There is a need for housing and support services for homeless persons and persons at-risk of becoming homeless.
3	Goal Name	Other Special Needs
	Goal Description	There is a growing critical need for housing with support services (employment, mental health, emergency food and childcare, etc.) with a focus on the frail elderly, those with drug and other addictions, victims of domestic abuse, and the mentally ill.

4	Goal Name	Community Development
	Goal Description	There is a critical need to provide community facilities, public infrastructure, public social/welfare services, food programs, public safety, environmental design and clearance programs.
5	Goal Name	Economic Development
	Goal Description	There is a continuing need for planning, administration, management, and oversight of federal, state, and local funded programs.
6	Goal Name	Administration, Planning and Management
	Goal Description	There is a continuing need for planning, administration, management, and oversight of federal, state, and local funded programs.

Estimate the number of extremely low-income, low-income, and moderate-income families to whom the jurisdiction will provide affordable housing as defined by HOME 91.315(b)(2)

Based on the numeric goals entered for the Housing and Homelessness Goals above, a total of approximately 1,320 extremely low-income, low-income and moderate-income families will be assisted with some form of affordable housing (including overnight homeless shelter, shelter beds and housing for the homeless) over the span of the City of Utica's 2020 - 2024 Consolidated Plan.

SP-50 Public Housing Accessibility and Involvement – 91.215(c)

Need to Increase the Number of Accessible Units (if Required by a Section 504 Voluntary Compliance Agreement)

Not Applicable

Activities to Increase Resident Involvements

The Utica Municipal Housing Authority's Five Year Agency Plan for Fiscal Years 2020-2025, the UMHA lists the promotion of self-sufficiency and asset development of its families and individuals as one of its HUD Strategic Goals. Listed as objectives in reaching that goal are the following:

1. Increase the number of employed persons in assisted families and expand access of residents to education and job training programs.
 1. Provide or identify supportive services to improve residents' employability; Seek new partnerships with both public and private entities to enhance social and economic services to residents in assisted housing; Develop on-site educational, job training, career development, and literacy programs for public housing residents; Continue to implement community service requirements for remaining public housing units to facilitate resident involvement in job training and educational programs;
 2. Provide entrepreneurship and small business development training programs for residents; Implement the AmeriCorps program to provide housing information and referral assistance, employment readiness training, veteran and financial training instruction;
 3. Implement service coordinator grants through the UMHA resident associations or through the housing authority;
 4. Apply for new funding streams;
 5. Operate workforce development programs such as the Summer Youth Employment, Fresh Start, Garden, Community Garden, and Paint Your Way to Success Programs.

2. Identify supportive services to increase independence for the elderly or families with disabilities.
 1. Continue to provide service coordination to elderly and disabled households;
 2. Implement health education programs targeted to seniors, children, and disabled;

3. Maintain and expand housing authority resident service programs
 1. Continue to implement youth development, after-school, and summer youth development and enrichment programs;

2. Maintain the operation of the Neighborhood Network Centers (community centers);
3. Incorporate supportive services into property management functions; Conduct resident orientation and training sessions on housekeeping and support services linkages; Continue to build partnerships with local social service agencies such as the Oneida County Department of Social Services to coordinate services; Seek funding from public and private sources to maintain and enhance resident service programs; Continue to develop and maintain resident associations and leadership development training programs; Continue and expand the community garden program to assist residents to access low cost nutritious food as well as foster community identity and spirit;

Is the public housing agency designated as troubled under 24 CFR part 902?

No

Plan to remove the 'troubled' designation

Not Applicable

SP-55 Barriers to affordable housing – 91.215(h)

Barriers to Affordable Housing

Availability of Affordable and Suitable Housing

There are more than 200 families on the waiting list for Section 8 housing in Utica. These families are forced to rent substandard housing while waiting for assistance. Additionally, there are 5,830 households described as earning less than 30% AMI but only approximately 2,000 units that are affordable for such extremely low income populations.

Gentrification

The City expects that the anticipated demands for urban living spaces associated with the NANO Utica project will raise housing costs and reduce the availability of rental housing in Downtown Utica. The “loft” apartment trends may negatively affect minorities, refugees and immigrant populations seniors, persons with disabilities, and single parent households who currently reside in the center city to be close to services and transportation.

Strategy to Remove or Ameliorate the Barriers to Affordable Housing

The Cities of Utica and Rome have partnered with Western Economic Services, LLC of Portland, OR to conduct an Analysis of Impediments to Fair Housing Choice in the cities of Utica and Rome in 2020. WES was the firm selected to conduct the analysis in 2008. While the study is expected to conclude in or about May 2020, the City of Utica does have precedented strategies to work from and anticipates the newest report will have similar recommendations:

- Identify and promote State and Federal Assistance for affordable housing;
- Make changes to its zoning and building code to promote the creation of new affordable housing units in vacant upper floor spaces;
- Help developers identify sites for development of affordable housing;
- Develop incentive and technical assistance programs to assist developers to rehabilitate rental housing for mixed use;
- Utilize HOME funding to provide energy improvements to rental housing;
- Provide workshops, housing fairs, seminars and paper and electronic literature in multiple languages.

SP-60 Homelessness Strategy – 91.215(d)

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

The Utica/Rome/Oneida County CoC Steering Committee (which includes the City of Utica) made the funding priority and funding allocation decisions for ESG spending in the 2020-2021 Program Year. The committee is made up of the ESG coordinator for the City of Utica (Michael Peek - Housing Development Specialist), the chair of the Continuum of Care and Mohawk Valley Housing and Homeless Coalition (Steve Darman), and members of the CoC who are not currently receiving funding but are familiar with the needs of those the program services (Robin Robinson of United Way and Mary Kernan of NYS Dept of Family Assistance).

Addressing the emergency and transitional housing needs of homeless persons

The programs/activities to be funded with the City's ESG entitlement include:

YWCA (\$40,000) to operate the Hall House shelter for female victims of domestic violence and their children.

Johnson Park Center (\$33,500) to continue funding for the emergency/transitional housing program for females who may have been ex-offenders or substance abusers and the chronically homeless.

Rescue Mission of Utica (\$15,000) to operate a men's shelter.

ICAN (\$34,727) for their Evelyn's House to expand operations of their 7-bed shelter for pregnant and parenting teenage mothers with a Rapid Rehousing component (this grant includes \$31,730 of FY2015 funds that have been re-allocated). This component of the City of Utica's Emergency Solutions Grant complies with the minimum 40% rapid-rehousing requirement.

Utica Municipal Housing Authority (\$64,832) to operate the rapid-rehousing and (\$21,240) to operate the homeless outreach services portion of the program. This component of the City of Utica's Emergency Solutions Grant complies with the minimum 40% rapid-rehousing requirement.

Utica Center for Development (\$8,000) to operate their rapid re-housing program and (\$4,000) to operate their homeless prevention services portion of the program. This component of the City of Utica's Emergency Solutions Grant complies with the minimum 40% rapid-rehousing requirement.

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 programs funded by the City of Utica have a component which is designed to reduce the chances of those served becoming homeless again. In Evelyn's House for Young mothers and Babies, the women are taught basic skills of creating shopping lists, clipping coupons and preparing dinner schedules for the house. Each resident is assigned a night to prepare a meal. In addition they learn how to set up a normal routine for their babies in terms of sleeping and feeding. Johnson Park Center will assess the women at intake and address many of the main problems they come in with from drug addiction to self-confidence.

Help low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families who are likely to become homeless after being discharged from a publicly funded institution or system of care, or who are receiving assistance from public and private agencies that address housing, health, social services, employment, education or youth needs

Employment of homeless persons:

We are exceeding HUD targets for the employment of homeless persons exiting supportive housing programs in our CoC. We have accomplished this by strengthening existing programs designed to support homeless individuals as they seek employment, and by aggressively pursuing and obtaining grant funding from the U.S. Department of Labor to serve ex-offenders who are unemployed (ex-offenders are a significant portion of our homeless population).

Youth supportive housing:

Youth age 16-21 are a significant portion of our local homeless population and are a particular challenge to locate and serve because they often make efforts to avoid local service providers, even when homeless. For girls, we have the first supportive housing program (Evelyn's House) for homeless pregnant and parenting teens in Utica, and the program will be expanded in 2020. For boys, Grady's Way, a shelter for boys and young men opened and will begin providing services.

Homeless veterans:

The Utica Center for Development specializes in veterans' affairs, and targets its homeless assistance efforts toward veterans. These participants may likely experience behavioral health issues related to homelessness and that could result in continued bouts of homelessness without proper programming.

Chronically homeless persons with a serious mental health disability:

The need for supportive housing for chronically homeless persons with a serious mental health disability is an active annual goal in our CoC. Unmet housing needs for this population have grown dramatically in as our stock of affordable SRO housing has declined in the community.

Prisoner reentry:

In 2006 our CoC implemented the Oneida County Prisoner Reentry Task Force with the support of the NYS Department of Criminal Justice Services. The Task Force was refunded in 2007. The Reentry Task

Force Coordinator works closely with our local Parole Office, the Oneida County Department of Social Services, and the DA's Office along with a number of area providers to ensure that those returning from prison are less likely to re-offend and return to prison because they have housing and the support and guidance they need to quickly obtain employment and, if necessary, mental health or substance abuse treatment. An applicant for ESG funds in the 2020-2021 Program Year, while not awarded funds due to not having completed all steps toward State certification, wishes to open a shelter targeted toward reintegrating former inmates into society with shelter beds and programming meant to reduce the likelihood of homelessness. It is highly likely that the program will be awarded ESG funding in the 2021-2022 Program Year should the organization meet its certification requirements.

SP-65 Lead based paint Hazards – 91.215(i)

Actions to address LBP hazards and increase access to housing without LBP hazards

In 2019, the City of Utica was awarded a \$3.5 million grant from HUD for the purpose of reducing lead paint hazards in homes where children under 6 spend a significant amount of time. The grant will rehabilitate 180 housing units over 3.5 years in partnership with the Community Foundation of Oneida and Herkimer Counties, Oneida County Dept of Health, UNHS Homeownership Center, Mohawk Valley Community Action, the Green and Healthy Homes Initiative of Baltimore, MD, and other community health agencies. Meetings occur biweekly to track progress and establish procedure.

The Oneida County Health Department works to eliminate childhood lead poisoning in portions of Oneida County like Utica that are designated as “high risk” areas for lead poisoning. They focus on community education, including home visitations, risk assessment of lead hazards, dust sampling and clearance, rehabilitation incentives and training, and other researched innovative measures that align with healthy housing principles, including the following goals/tasks for 2020 and beyond:

- Deliver Presentations to Local Agencies, Organizations and Faith-based Groups – schedule owner and tenant seminars, community presentations, nursing and medical resident trainings, health fairs, and daycare provider lead prevention education and training.
- Promote a Healthy Housing Rehabilitation Campaign with initiatives that support the seven areas of a healthy home - keeping homes dry, clean, safe, well-ventilated, pest-free, contaminant free, and well-maintained. Provide Creative Web and Phone-based Incentives to attract target populations to educational events and modules including reminders of free and “temporary” measures to reduce a child’s access to lead hazards. Utilize New Technology to enable educators to quickly and easily demonstrate the presence of lead that is present in a myriad of surfaces and locations Complete Housing Inspections (with a focus on newborn to age 3) housing units, including: visual inspections dust wipe samplings digital photographs two lead hazard reduction education visits for owner or tenants free cleaning supplies issuance of legal notices to owners to make repairs free training for EPA 8 hr. RRP class free paint stabilization voucher for paint window replacement classes for tenants/owners free visual and dust wipe clearance testing
- Coordinate with Municipalities as they Revise Zoning Codes to assist with enforcement and the development of incentive programs for appropriate and healthy rehabilitation.
- Coordinate a Process with Municipalities to complete code inspections and CCE will provide follow-up, hearings, office conferences, and the same services as above.
- Continue to Implement a HEPA Vacuum Loaner Program - free use of HEPA vacuums (currently available at a variety of sites around the County).
- Determine the Need and Availability of Lead Prevention Training Programs in target neighborhoods.
- Provide Lead Safe Job Training Programs for underemployed and unemployed persons in the target areas.
- Provide Lead Staff Workshops - Cornell University School of Industrial and Labor Relations will assist to provide new opportunities for consistently updated lead prevention training for program staff.

Over the course of the next five years, the City of Utica will continue to partner with the Oneida County Health Department and the Lead-Free Mohawk Valley committee to ensure that available programs and initiatives are well publicized to City residents to ensure full utilization of their services.

How are the actions listed above related to the extent of lead poisoning and hazards?

As noted above, the Oneida County Health Department’s approach is multi-pronged. Their approach begins with trying to educate City residents to the problem and the numerous problems that result if the problem of lead-based paint is not addressed. Their approach then includes measures intended to quantify the problem by utilizing testing, sampling and risk assessments. Finally, their measures extend to solving the problems through enabling homeowners and contractors to knowledgeably rehabilitate unsafe homes.

How are the actions listed above integrated into housing policies and procedures?

UED staff will work with various housing agencies and housing counseling organization, including the Utica Municipal Housing Authority, the HomeOwnership Center, the City’s Section 8 staff primarily and others, to ensure that all such agencies and organizations are aware of the programs and services that are available through the Oneida County Health Department to address the issue of lead-based paint.

SP-70 Anti-Poverty Strategy – 91.215(j)

Jurisdiction Goals, Programs and Policies for reducing the number of Poverty-Level Families

Goal #1 – Facilitate Employment: Provide training opportunities, financial assistance, and the support network required to raise the level of earning and employment - for individuals, families and new entrepreneurs – leading to self-sufficiency.

Subgoals

1. “Community employment services” program
2. Provide financial and technical assistance for career development opportunities
3. Develop incubators and support social enterprise development

Goal #2 – Increase Economic Activity: Upgrade aging infrastructure, fill vacancies, provide incentives for the adaptive reuse of buildings, and enhance and promote quality of life amenities across all demographics and neighborhoods.

Subgoals

1. Develop a comprehensive brand for the target area’s commercial districts
2. Upgrade road, water, sewer, technology, broadband, and green and architectural infrastructure
3. Organize commercial district neighborhood associations

Goal #3 – Improve Educational Opportunities: Improve literacy rates, support afterschool programs, increase the number of adults with college degrees, and provide workforce training and certificate programs for skilled trades and professionals - with a focus on emerging career fields.

Subgoals

1. Develop programs aimed at raising the literacy rate
2. Increase the percentage of adults with bachelor’s degrees to 25%
3. Expand workforce training for skilled trades and professionals

Goal #4 – Enhance Public Safety: Address community perceptions regarding public safety through community policing and neighborhood-based renewal strategies, environmental design and safety infrastructure.

Subgoals

1. Incorporate community policing objectives in comprehensive neighborhood planning
2. Use innovative environmental design strategies in neighborhood streetscape plans
3. Provide measures to enhance inclusive representation in neighborhood meetings, hiring practices and decision-making

Goal #5 – Improve Health and Wellness: Re-assess behavioral health and addiction programs and services, improve healthy food access through community gardens and innovative environmental design, and promote walkability and healthy lifestyles.

Subgoals

1. Provide enhanced support services for persons facing addiction and behavioral health issues.
2. Improve access to healthy food and eliminate food deserts
3. Evaluate and enhance neighborhood walkability and connectivity

Goal #6 – Provide Healthy Housing: Provide healthy housing without lead, asbestos, mold and pests; renovate aging housing stock and build new quality affordable housing units; and provide live/work, loft and rental housing to meet the needs of Utica’s changing demographics.

Subgoals

1. Work with private housing developers and public agencies to provide safe housing using training and technical assistance
2. Rehabilitate or build new units of quality, affordable housing in target neighborhoods.
3. Complete a downtown housing inventory and provide financial and technical assistance to meet the urban living needs of any person.

How are the Jurisdiction poverty reducing goals, programs, and policies coordinated with this affordable housing plan

Goal 6 of the poverty reducing goals align with the affordable housing plan by focusing on the rehabilitation and construction of housing units that are safe and affordable within the target neighborhoods. Additionally, a number of the goals focus on improving infrastructure, transportation, connectivity and safety within the target area, all which aid in the promotion and marketing of the affordable housing to be developed through the affordable housing plan.

SP-80 Monitoring – 91.230

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

The staff of the City of Utica's Department of Urban & Economic Development will be responsible for the monitoring of the various outside agencies and organizations that receive entitlement funding through CDBG, HOME and/or ESG monies during the 2020-2021 program year. The primary purpose of the City's monitoring program will be to ensure that all subrecipients progress their respective projects in furtherance of the 2020-2021 Annual Action Plan in compliance with all applicable federal and local regulations.

As a result of receiving federal entitlement funds through the City of Utica, all subrecipients are required to enter into subrecipient agreements between the agency/organization and the City of Utica. These subrecipient agreements spell out the various reporting responsibilities with which the subrecipient must comply and reiterates the right of the City of Utica to perform monitoring of the subrecipient.

Subrecipients are required to submit quarterly progress reports as well as a final year-end progress report summarizing their progress toward accomplishing their goals. These reports require each subrecipient to provide raw numbers in terms of numbers served, but also require that each subrecipient detail their progress toward fulfilling the respective outcome measure, depending on the activity undertaken or service provided. In addition to providing critical activity-level data to Department staff, the reports will be helpful in the preparation of the Consolidated Annual Performance Evaluation Report (CAPER).

In addition to these progress reports, Department staff will employ a random on-site inspection of subrecipients during the 2020-2021 program year. Monitoring reviews may take the form of on-site visits or desk reviews.

The City of Utica's monitoring strategy is a management control technique for ongoing assessment of the quality of grantee performance over a period of time. Monitoring provides information about a grantee's program effectiveness and management efficiency. The City strives to work in partnership with its subrecipients to ensure successful program implementation. Monitoring visits also allow staff to provide on-site assistance to subrecipients carrying out their program responsibilities.

Additionally, monitoring is used as an opportunity to identify program participant accomplishments, acknowledge successful management, and recognize implementation techniques that might be replicated by other grantees.

While some communities employ a random sampling of subrecipients annually, monitoring visits are made to every HOME, CDBG and ESG subrecipient each entitlement year; the same plan is in place for the 2020-2021 program year. Utilizing checklists developed for each activity/project, Department staff will conduct the on-site monitoring visit by meeting with appropriate staff, reviewing a random selection of files and observing the conduct of each activity. The results of each monitoring visit are then incorporated into each Department project file.

The City of Utica retains the ability to schedule additional monitoring visits as may be necessitated by problems identified in the monitoring visit or when grant conditions demonstrate a need for additional review.

Expected Resources

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

Introduction

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	2,567,049	280,000	0	2,847,049	10,000,000	Funds will be used for community and economic development initiatives in low-and moderate income neighborhoods, including affordable housing, housing preservation, public services for at-risk populations and public infrastructure improvements

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	658,390	0	0	658,390	2,600,000	HOME funds will be used to develop affordable housing for low income families, including new construction and rehabilitation of single- and multi-family units.

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: \$		
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	215,750	0	31,730	247,480	840,000	ESG funds will be used to assist homeless individuals with shelter services, transitional housing, and rapid re-housing services.
Other	public - federal	Other	743,966	0	0	743,966	0	ESG-CV funds to be used to prevent, prepare for, and respond to coronavirus

Table 54 - 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

The City of Utica has grown adept at leveraging its scarce resources for its priority projects to secure additional sources of funding. For the past several years and for the next several years moving forward, State dollars are made available most often through Governor Cuomo’s Consolidated Funding Application (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 services agencies indicate the source and extent of matching funds against its CDBG allocation. Additionally, financing from private sources or banks are required of any loan applicant from 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

The City of Utica is spatially constrained and highly developed. As such, there are no 'greenfields' on which new development can be planned. Therefore, economic development in the City of Utica must rely on an aggressive brownfield redevelopment program. Given the liability risk in owning such properties, the City of Utica does not own large swaths of such land. The City of Utica has historically not allocated CDBG funds to brownfield projects. However, given the obvious need at this time, funds have been allocated to such a program in the current 2020 – 2021 program year.

Discussion

Annual Goals and Objectives

AP-20 Annual Goals and Objectives

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Housing	2020	2024	Affordable Housing	City of Utica CDBG Target Area	Housing	HOME: \$658,390	Rental units constructed: 20 Household Housing Unit Rental units rehabilitated: 20 Household Housing Unit Homeowner Housing Added: 0 Household Housing Unit Homeowner Housing Rehabilitated: 12 Household Housing Unit
2	Homelessness	2020	2024	Homeless	City of Utica CDBG Target Area	Homelessness	ESG: \$247,480	Homeless Person Overnight Shelter: 200 Persons Assisted Overnight/Emergency Shelter/Transitional Housing Beds added: 10 Beds Housing for Homeless added: 4 Household Housing Unit

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
3	Community Development	2020	2024	Non-Housing Community Development	City of Utica CDBG Target Area	Community Development	CDBG: \$2,011,735	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 3000 Persons Assisted Public Facility or Infrastructure Activities for Low/Moderate Income Housing Benefit: 20 Households Assisted Public service activities other than Low/Moderate Income Housing Benefit: 3500 Persons Assisted Public service activities for Low/Moderate Income Housing Benefit: 20 Households Assisted Facade treatment/business building rehabilitation: 10 Business Brownfield acres remediated: 4 Acre Businesses assisted: 4 Businesses Assisted Buildings Demolished: 4 Buildings
4	Economic Development	2020	2024	Economic Development	City of Utica CDBG Target Area	Community Development	CDBG: \$266,000	Businesses assisted: 6 Businesses Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
5	Administration, Planning and Management	2020	2024	Administration	City of Utica CDBG Target Area	Administration, Planning and Management	CDBG: \$569,314	Other: 1 Other

Table 55 – Goals Summary

Goal Descriptions

1	Goal Name	Housing
	Goal Description	The City of Utica has allocated \$142,545 for Housing Rehabilitation of Homeowner units, \$347,086 for Rental Housing Rehabilitation/Development, \$98,758 as a CHDO set-aside, \$20,000 for CHDO operations and \$50,000 for general administration; all projects are planned for the City of Utica CDBG Target Area.
2	Goal Name	Homelessness
	Goal Description	With the \$215,750 available to the City in Emergency Solutions Grant monies for the 2020 - 2021 program year, the City intends to fund the following projects: \$10,000 for HMIS; \$16, 181 for administrative costs; \$107,559 for Rapid Rehousing/Homelessness Prevention; and \$113,740 for Street Outreach/Emergency Housing.
3	Goal Name	Community Development
	Goal Description	With these funds, the City of Utica has allocated \$825,000 to Public Facilities/Improvements, \$330,850 to Demolition, \$250,735 to Brownfield Remediation, \$355,150 to Public Services, \$225,000 to Rehabilitation: Privately-Owned Commercial, and \$25,000 to Non-Residential Historic Preservation
4	Goal Name	Economic Development
	Goal Description	With these funds, the City of Utica will capitalize its revolving loan fund, the Economic Reinvestment Program (ERP), for another year for \$150,000. The remaining \$116,000 in funds will be used for program delivery costs.

5	Goal Name	Administration, Planning and Management
	Goal Description	With these funds, the City of Utica will fund salary and fringe costs for its Department of Urban & Economic Development (\$451,000). In addition, the City will invest \$34,314 in a consultant to assist it with the development of an Analysis of Impediments to Fair Housing. Finally, \$84,000 has been allocated to Indirect Costs.

Projects

AP-35 Projects – 91.220(d)

Introduction

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Projects

#	Project Name
1	Public Facilities and Improvements
2	Demolition and Brownfield Remediation
3	Public Services
4	Rehabilitation - Privately-Owned Commercial
5	Non-Residential Historic Preservation
6	Economic Development
7	General Program Administration
8	Housing
9	Homelessness

Table 56 – Project Information

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

AP-38 Project Summary
Project Summary Information

1	Project Name	Public Facilities and Improvements
	Target Area	City of Utica CDBG Target Area
	Goals Supported	Community Development
	Needs Addressed	Community Development
	Funding	CDBG: \$825,000
	Description	\$25,000 for first phase of One World Garden at Chancellor Park and \$800,000 for Street Reconstruction/Repaving of residential streets in the CDBG Target Area
	Target Date	3/31/2021
	Estimate the number and type of families that will benefit from the proposed activities	It is estimated that approximately 3,000 low- to moderate-income persons will benefit from the two projects, combined.
	Location Description	Chancellor Park and primarily residential streets within the CDBG Target Area
Planned Activities	\$25,000 for first phase of One World Garden at Chancellor Park and \$800,000 for Street Reconstruction/Repaving of residential streets in the CDBG Target Area	
2	Project Name	Demolition and Brownfield Remediation
	Target Area	City of Utica CDBG Target Area
	Goals Supported	Community Development
	Needs Addressed	Community Development
	Funding	CDBG: \$581,585
	Description	Demolition of substandard housing and/or commercial buildings and remediation of suspected brownfield sites
	Target Date	3/31/2021
	Estimate the number and type of families that will benefit from the proposed activities	Difficult to determine without knowing the exact locations.
	Location Description	Exact location(s) of structures to be demolished are to be determined.

	Planned Activities	Demolition of up to four (4) substandard residential and/or commercial buildings. Remediation of up to 4 acres of brownfield site(s).
3	Project Name	Public Services
	Target Area	City of Utica CDBG Target Area
	Goals Supported	Community Development
	Needs Addressed	Community Development
	Funding	CDBG: \$355,150
	Description	Public Services to at least 51% of persons and families of low- to moderate-income
	Target Date	3/31/2021
	Estimate the number and type of families that will benefit from the proposed activities	It is estimated that approximately 1,500 low- to moderate-income families will benefit from the public services.
	Location Description	Services will largely be offered within the CDBG Target Area
	Planned Activities	<p>Senior activities, including: \$26,000 for Parkway Senior Center, \$26,000 for North Utica Senior Center, \$25,000 for residential caregiving for terminally ill at Abraham House and \$6,500 for senior transportation through the Utica Public Library</p> <p>Youth activities, including: \$25,000 for a sports mentoring program offered by The Utica Center for Development, \$15,000 for counseling services to high school youth through the OnPoint For College Utica, \$27,500 for Check & Connect mentoring program through the Safe Schools Mohawk Valley at the Parkway Rec Center, \$20,000 for Drop-In Enrichment Program offered by the Johnson Park Center, \$35,000 for Botvin LifeSkills Training program offered by the Safe Schools Mohawk Valley at the Underground Teen Center, \$4,150 for an after-school program offered by Rebuilding The Village at the Empowerment Center, \$30,000 for Pathways to Justice career training program offered by the Workforce Investment Board, and \$40,000 for tutoring/mentoring offered by Utica College Young Scholars</p> <p>Other public services, including: \$10,000 for mental health mentoring offered by the Center for Family Life and Recovery, \$50,000 for staffing of an extended hours child care program offered by the United Way of the Valley & Greater Utica Area, and \$15,000 to hire a Farmer's Market manager sponsored by the Parkway Center</p>

4	Project Name	Rehabilitation - Privately-Owned Commercial
	Target Area	City of Utica CDBG Target Area
	Goals Supported	Community Development
	Needs Addressed	Community Development
	Funding	CDBG: \$225,000
	Description	Facade improvement program for privately-owned, commercial buildings
	Target Date	3/31/2021
	Estimate the number and type of families that will benefit from the proposed activities	Difficult to determine
	Location Description	Downtown Utica within the boundaries of the Downtown Revitalization Initiative and in and around the MHVS Integrated Health Campus
Planned Activities	Facade improvement program for privately-owned, commercial buildings	
5	Project Name	Non-Residential Historic Preservation
	Target Area	City of Utica CDBG Target Area
	Goals Supported	Community Development
	Needs Addressed	Community Development
	Funding	CDBG: \$25,000
	Description	Historic preservation of privately-owned, non-residential properties
	Target Date	3/31/2021
	Estimate the number and type of families that will benefit from the proposed activities	Project falls under Elimination of Slums and Blight National Objective. As such, this figure is impossible and unnecessary to determine.
	Location Description	2014 Genesee Street
Planned Activities	Replacement of roof of Uptown Theatre	
6	Project Name	Economic Development
	Target Area	City of Utica CDBG Target Area

	Goals Supported	Economic Development
	Needs Addressed	Economic Development
	Funding	CDBG: \$266,000
	Description	Economic Development
	Target Date	3/31/2021
	Estimate the number and type of families that will benefit from the proposed activities	Based on a capitalization of \$150,000 and a general rule of thumb of \$15,000 per job created, it can be estimated that 10 families will benefit directly.
	Location Description	
	Planned Activities	\$150,000 for capitalization of the City's revolving loan fund and \$116,000 for program delivery costs
7	Project Name	General Program Administration
	Target Area	City of Utica CDBG Target Area
	Goals Supported	Administration, Planning and Management
	Needs Addressed	Administration, Planning and Management
	Funding	CDBG: \$569,314
	Description	General Program Administration
	Target Date	3/31/2021
	Estimate the number and type of families that will benefit from the proposed activities	Not applicable
	Location Description	
	Planned Activities	\$451,000 for administrative costs, \$34,314 for the procurement of a consultant to assist City staff with the development of an Analysis of Impediments to Fair Housing and \$84,000 to reimburse the City for Indirect Costs based on an independent CPA report
8	Project Name	Housing
	Target Area	City of Utica CDBG Target Area
	Goals Supported	Housing
	Needs Addressed	Housing

	Funding	HOME: \$658,390
	Description	Funding of a variety of housing-related projects with HOME Investment Partnership funds
	Target Date	3/31/2021
	Estimate the number and type of families that will benefit from the proposed activities	
	Location Description	
	Planned Activities	\$142,545 to fund the rehabilitation or construction of homeowner units within the CDBG Target Area, \$347,087 for the rehabilitation of rental units within the CDBG Target Area, \$98,758 as a CHDO set-aside, \$20,000 for CHDO operations and \$50,000 for General Administration
9	Project Name	Homelessness
	Target Area	City of Utica CDBG Target Area
	Goals Supported	Homelessness
	Needs Addressed	Homelessness
	Funding	ESG: \$247,480 ESG-CV: \$743,966
	Description	To fund projects that address homelessness in the City of Utica
	Target Date	3/31/2021
	Estimate the number and type of families that will benefit from the proposed activities	Relative to the 2020 ESG funds, it is estimated that 50 very low-, low- and moderate-income families will benefit from the proposed activities. For the CARES Act supplemental ESG-CV funds, it is estimated that another 500 very low- and low-income families will benefit from the proposed activities.
	Location Description	

<p>Planned Activities</p>	<p>Funded activities include: Rapid Rehousing/Homelessness Prevention with \$34,727 to ICAN, \$8,000 to the Utica Center for Development, and \$64,832 to Utica Municipal Housing Authority; \$10,000 to OC Mental Health/Social Science Associates for HMIS activities; \$16,181 for administration; and Street Outreach/Emergency Housing with \$33,500 to Johnson Park Center, \$4,000 to Utica Center for Development, \$21,240 to Utica Municipal Housing Authority, \$15,000 to the Rescue Mission and \$40,000 to YWCA - Hall House.</p> <p>For the ESG-CV funds, the City of Utica anticipates providing assistance to three existing emergency shelters (Rescue Mission, YWCA DV Shelter and Johnson Park Center) with \$150,000 to address impacts they've faced as a direct result of COVID-19, including the need to purchase PPE, needing additional staff time to disinfect, having to meet social distancing requirements, etc. The City will also fund rapid rehousing activities by working with ICAN to move 18- to 25-year olds from shelters into permanent housing. This activity will be funded at roughly \$179,600 and will address the most transient members of the City's homeless population and, therefore, the most likely to spread the virus. The City will allocated \$330,000 for a rent relief program to assist renters with family incomes up to 50% of AMI with up to 3 months' rent. Additionally, the City will allocate \$10,000 to HMIS data reporting and \$74,366 to administration.</p>
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AP-50 Geographic Distribution – 91.220(f)

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

Assistance will be targeted to the City of Utica’s CDBG Target Area which includes downtown as well as the neighborhoods of West Utica and Cornhill in their entirety along with portions of East Utica. The CDBG Target Area encompasses those census tracts where, based on 2010 Census data, at least 51% of the resident families have an income at or below 80% of Area Median Income. This area covers a significant area of the City, excluding only the more affluent neighborhoods of North and South Utica.

Geographic Distribution

Target Area	Percentage of Funds
City of Utica CDBG Target Area	88

Table 57 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

The requirement that the City expend 70% of its Community Development Block Grant (CDBG) funds over a three-year period on activities that primarily benefit persons of low- to moderate-income (L/MI) largely drives the geographic basis for allocation decisions. In the 2020 – 2021 program year, most (88.1%) of the activities which were awarded CDBG were located within the CDBG Target Area. Only a handful of largely public service activities were clearly not location-based, by nature; these activities still serve at least 51% L/MI person based on income documentation.

Discussion

Affordable Housing

AP-55 Affordable Housing – 91.220(g)

Introduction

In the 2020-2021 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 2020-2014 Consolidated Plan.

One Year Goals for the Number of Households to be Supported	
Homeless	400
Non-Homeless	99
Special-Needs	11
Total	510

Table 58 - One Year Goals for Affordable Housing by Support Requirement

One Year Goals for the Number of Households Supported Through	
Rental Assistance	116
The Production of New Units	50
Rehab of Existing Units	20
Acquisition of Existing Units	20
Total	206

Table 59 - One Year Goals for Affordable Housing by Support Type

Discussion

With the completion of the Roosevelt Residences project expected by or shortly after the conclusion of the 2019-2020 Program Year, 50 new rental units will be brought online. Our partnership with the Homeownership Center (a CHDO) should see the rehabilitation of 4-8 homeowner units as part of their most recent project, as well as up to 50 units treated per year as part of the HUD Lead Hazard Reduction grant received by the City in 2019. The City also continues to work with the Mohawk Valley Homeless Coalition and its partner organizations to utilize ESG funding for rapid rehousing programs and shelters.

AP-60 Public Housing – 91.220(h)

Introduction

Public housing is an important component of any urban community, providing necessary housing to the City's lowest income populations. In the City of Utica, the Utica Municipal Housing Authority (UMHA) was created pursuant to New York State Public Housing Law and the United States Housing Act of 1937. It is a public corporation affiliated with the City of Utica which receives direct funding from the US Department of Housing & Urban Development to operate public housing, as well as Housing Choice voucher programs.

The UMHA owns and operates 893 public housing and subsidized units and is an administrator of a Housing Choice rental assistance program.

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

HUD Strategic Goal: Increase availability of decent, safe, and affordable housing.

PHA Goal 1: Convert Section 9 public housing inventory to Rental Assistance Demonstration Program

1. Conduct Physical Needs Assessment of PHA units to determine capital needs
2. Develop architectural plans based upon the PNA results, resident, staff, and community input
3. Submit proposals to NYS HCR, HUD, City of Utica, Federal Home Loan Bank, and other funders to finance improvements for PHA properties
4. Revise programs, policies, and procedures to ensure consistence with Section 8 and tax credit regulations
5. Schedule construction to minimize relocation and disruption of residents
6. Coordinate construction activities with lead grants for Gillmore Village/Humphrey Gardens and Adrean Terrace, N.D. Peters Manor, and F.X. Matt Apartments
7. Provide relocation services and benefits consistent with the Uniform Relocation Act
8. Provide training to staff, residents, and Board members on RAD conversion process
9. Revise documents/policies to ensure conformance with LIHTC and Section 8 rules

Expand supply of assisted housing

1. Maintain high occupancy levels of public housing/RAD units
2. Leverage private/public funds to create additional housing opportunities

PHA Goal 2: Improve quality of assisted housing

1. Enhance PHA management
2. Improve resident satisfaction
3. Efforts to improve management functions

4. Modernize public housing units
5. Use technology to improve delivery of core business functions

PHA Goal 3: Increase assisted housing choices

1. Continue to conduct outreach efforts to potential voucher landlords.
2. One-stop community housing counseling and referral service to help residents to access affordable housing
3. Increase the voucher lease-up rate for Housing Choice Voucher Program
4. Use Project-Based Vouchers to assist to develop new housing choices
5. Expand the jurisdiction of the UMHA HCV program to Oneida County to promote housing choice
6. Implement Mainstream voucher funding program for housing vulnerable/homeless non-elderly disabled
7. Apply for Foster Youth to Independence vouchers

HUD Strategic Goal: Improve community quality of life and economic vitality

PHA Goal 4: Continue implementing security improvements

HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals

PHA Goal 5: Promote self-sufficiency and asset development of assisted households

1. Increase number of employed persons in assisted families and expand access of residents to education and job training programs
2. Identify supportive services to increase independence
3. Continue to provide service coordination
4. Implement health education programs
5. Maintain and expand resident service programs

HUD Strategic Goal 6: Ensure Equal Opportunity in Housing

1. Continue implementation of Section 504, ADA, and the Fair Housing Act
2. Continue domestic violence policy and procedures
3. Conduct required training on fair housing for staff
4. Continue disseminating information to community through various materials and seminars

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

During the last five years, the UMHA made significant progress to empower residents:

- On behalf of its resident associations, the UMHA submitted funding applications for the Adrean-Matt Resident Association and the Gillmore-Humphrey Resident Association to renew their ROSS grants;
- Leadership training has been provided to resident associations to help them run meetings, comply with New York State not for profit corporation laws, and conduct their own fund development activities;
- Provided training through Legal Services of Central New York on tenant rights and responsibilities;
- Created tenant association newsletters to communicate information regarding community programs and services;
- In cooperation with the Neighborhood Center, the UMHA continues to implement the nationally validated Circles Program build resident self-help and resiliency skills.
- Community building activities have been held such as outdoor movie nights, festivals, and other events to engage residents with each other and the greater community.
- Under the Project-Based Rental Assistance regulations governing RAD transactions, UMHA tenants will be provided stronger protections to organize resident organizations as well as use tenant participation funding.
- Based upon Annual/Five Year Plan meetings with residents, the UMHA will explore the feasibility of the

implementation of the following resident engagement activities during the next five years:

- Neighborhood Watch,
- Resident led events to celebrate neighborhoods, diversity, and safety,
- Social and recreational events to build neighborhood cohesion,
- Leadership training in resident empowerment,
- Purchase a van to transport residents to events and grocery stores,
- Increasing the use of translators and interpreters to facilitate communication with Limited English Proficient individuals.

At this time, the UMHA does not anticipate operating a homeownership production program. Through its AmeriCorps funded Housing Opportunity Center and Family Self-Sufficiency Programs, the housing authority helps public housing residents and low-income households to access homeownership training and purchase programs. We provide pre-homeownership counseling and referrals and works closely with the HomeOwnership Center in Utica to provide financial empowerment counseling and homeownership education.

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

Not Applicable.

Discussion

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

Introduction

The City of Utica provides funding for various homeless services. Listed below are the agencies we are currently funding.

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

With the help of the Continuum of Care, efforts to identify and engage persons who routinely sleep on the streets or in other places not meant for human habitation center on targeted outreach to popular soup kitchens and food pantries that are frequented by our “street” homeless”. These faint-based soup kitchens (three of them) are all well-known and very homeless friendly and do not collect information from those eating there or have any other requirements that would pose a barrier to homeless persons and families not wishing to be identified.

Addressing the emergency shelter and transitional housing needs of homeless persons

In 2020-2021, the City of Utica plans to allocate \$221,299 in Emergency Solutions Grant funding for eight (8) programs administered by six (6) sub-recipient agencies. The programs will assist homeless persons and families and those at imminent risk of becoming homeless. Given the very nominal amount of funding that the City receives, spread among six different programs which will address the needs of chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth.

The programs/activities to be funded with the City's ESG entitlement include:

- YWCA (\$40,000) to operate the Hall House shelter for female victims of domestic violence and their children.
- Johnson Park Center (\$33,500) to continue funding for the emergency/transitional housing program for females who may have been ex-offenders or substance abusers and the chronically homeless.
- Rescue Mission of Utica (\$15,000) to operate a men’s shelter.
- ICAN (\$34,727) for their Evelyn’s House to expand operations of their 7-bed shelter for pregnant and parenting teenage mothers with a Rapid Rehousing component (this grant includes \$31,730 of FY2015 funds that have been re-allocated). This component of the City of Utica’s Emergency Solutions Grant complies with the minimum 40% rapid-rehousing requirement.
- Utica Municipal Housing Authority (\$64,832) to operate the rapid-rehousing and (\$21,240) to operate

the homeless outreach services portion of the program. This component of the City of Utica's Emergency Solutions Grant complies with the minimum 40% rapid-rehousing requirement.

-Utica Center for Development (\$8,000) to operate their rapid re-housing program and (\$4,000) to operate their homeless prevention services portion of the program. This component of the City of Utica's Emergency Solutions Grant complies with the minimum 40% rapid-rehousing requirement.

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

Returns to homelessness in our CoC are addressed using three different strategies. First, our CoC providers have focused on increasing housing stability for the over 500 homeless persons and families residing in our PSH programs. Using NY State funds combined with our only HUD-funded Support Service Only Program we are able to provide a high level of case management and other support services to formerly homeless residents with the result that our CoC has a 90% housing stability rate, well above the HUD target for this objective. The second set of steps our CoC has taken to reduce returns to homelessness center on providing case management to persons and families in our Rapid Re-housing programs along with follow-up after cases are closed. Finally, our CoC has developed supportive housing programs for those who need more intensive and targeted support- including life skills training crafted to their unique needs- to become stable in both their housing and in our community. We have specialized programs for homeless male and female youth, pregnant and parenting youth, DV victims and their families, persons with a mental health and addition disability to meet this need.

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

Foster Care (youth aging out)

Oneida County DSS discharge planning protocol for youths leaving the foster care system requires the identification of any community and/or family resources for said youths. For youths being discharged to a relative or other caretaker, DSS reviews the safety of the home in which the youth is to be discharged, identifies sources of income for the caretaker(s), assesses the needs of the youth after discharge, and identifies available resources regarding these needs. For discharges into independent living, the County ensures that the youth is discharged into an appropriate residence. Oneida County now has access to CoC-developed transitional housing programs for both single and parenting female youth age 16-21. If

an appropriate residence is unavailable, the youth is referred for preventive housing services. The County also identifies sources of income and other support resources for the youth upon discharge. The County also performs an assessment of youth safety and needs upon discharge. Available services are identified based on identification of needs.

Health Care

There are three hospitals in the CoC. All three hospitals are JCAHO accredited and in compliance with accreditation standards they employ social work staff to prevent homeless discharge. The removal of Crisis Service workers from working on site in hospital emergency rooms in 2009 led directly to the hiring of new hospital-based social workers who have added capacity to prevent homelessness upon discharge from the ER. These hospitals participate actively in the New York State ASPOAA process to ensure that those with a serious mental health disability have housing when discharged.

Mental Health

New York State ASPOA/A. Hospitals with inpatient psychiatric units are required to prepare a written service plan for all patients about to be discharged. The treatment plan must include supervision, medication, and aftercare services. The Oneida County Department of Mental Health monitors concerns and issues related to discharge planning in two ways. The first is that the County monitors discharge planning through the weekly ASPOA/A process that is coordinated by the Oneida County Department of Mental Health. When individuals are nearing discharge, service needs and resources are discussed at ASPOA/A and a discharge plan with a housing component is formulated for high-risk, high-need situations. The second way that the Department of Mental Health reviews and monitors discharge concerns is through annual license reviews of clinical and case management programs done in collaboration with the New York State Office of Mental Health. ASPOA/A policies have been in place since 2004.

Corrections

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

Discussion

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

Introduction:

As publications on the HUD Exchange website (<https://www.huduser.gov/portal/taxonomy/term/32>) show, 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 2019-2020 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 (the next census survey will be taken in 2020). 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 taking place during the 2020-2021 Program Year, 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. Interest rates, after stabilizing around 2.25% in 2019, have begun falling to under 1.5%. Inflation is projected to increase 2.73% in 2020 from 2019 levels, but the Cost of Living Adjustment (COLA) increased a meager 1.6% in 2020 after a 2.8% increase in 2019 (with projected Medicare cost increases likely to consume the increase in benefits). As the cost of living increases have barely 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 continued 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

After having secured the Local Initiatives Support Corporation (LISC) grant in 2018-2019 and a second round in 2019-2020, the City has worked with Rust2Green and the City's recently-hired Community Development Specialist 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 successfully secured 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 City employees have access to an interpreter phone line to help translate calls while providing services. The Utica Industrial Development Agency continues 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:

Actions planned to address obstacles to meeting underserved needs

In a perfect world, sufficient funds from the private sector combined with local, state and federal governments would be available to meet all of the underserved needs of all people. Unfortunately, that is not the case . . . and the coronavirus pandemic will likely only exacerbate this problem.

As such, the City of Utica attempts every year to address the most critical needs for the greatest number of its residents. The first step in that process is to undertake a comprehensive planning process, ensured by the need to draft and submit a five-year Consolidated Plan and an Annual Action Plan. The second step in that process is to ensure maximum community input into both plans, so that the depth and breadth of issues among the community are fully identified and quantified by City staff. The third step in the process is to allocate the limited federal entitlement funds to ensure maximum impact every year. The fourth step in the process is to constantly monitor the expenditure of funds, thereby ensuring that each dollar is appropriately expended and that the anticipated outcome is achieved; such monitoring also allows the City the ability to re-allocate funds that may not be expended in a timely enough manner to more pressing needs.

Actions planned to foster and maintain affordable housing

The period covered by the previous Consolidated Plan (2015 – 2019) represented one of the most prolific periods in the City's history relative to development, including the construction or rehabilitation of affordable housing. Furthermore, the projects are spread throughout virtually every neighborhood of the City, rather than being concentrated in just one area.

The City of Utica has supported each and every one of these current projects. If available, CDBG or HOME monies are committed to various projects as just a small match and a sign of the City's commitment to affordable housing. The City's Industrial Development Agency has also provided Payment-In-Lieu-Of-Taxes (PILOT) agreements, often extending the terms to match the terms of other State funding terms. In addition, those PILOT agreements also usually provide an exemption from the mortgage recording tax and an exemption from the sales tax for building materials, both of which can be significant in large, multi-million dollar projects. These commitments to affordable housing will continue.

Finally, in many instances, particularly in those developments involving substantial new construction, the City has been able to use CDBG funds to improve the surrounding neighborhood. Following construction, the City will come through with reconstructed streets, new sidewalks, improved street

lights, or street trees/landscaping.

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 focuses 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 December of 2018, HUD announced that Utica was awarded \$3.5 million for lead removal in 180 pre-1978 homes where children under 6 spend a significant amount of time. The grant will largely benefit low-income families and homeowners.

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). At that time, the City 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 fell to the United Way, rather than the City of Utica. However, City staff was heavily involved in the planning process that had occurred, including the Mayor and the Commissioner of Urban & Economic Development. In 2017-2018, over a dozen focus group meetings were 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 that determined that increasing daycare options was the top priority in fighting family poverty.

In the two years since that town hall-style meeting, the United Way has been selecting a location for the extended child care center and securing funds for rehabilitation of the space and putting the necessary administrative construct in place to manage operations of the center. Through the State's Consolidated Funding Application (CFA) rounds, the extended child care center received a grant award of \$100,000 in the 2018 round for the implementation of the center's plans. Additionally, the City awarded \$55,000 in CDBG funds in the last program year to assist in getting the center up and running. As noted in earlier sections of this Plan, the City has allocated an additional \$50,000 to support administration of the center in its proposed 2020 – 2021 Annual Action Plan.

Construction is expected to be complete soon and the interviewing process for providers is currently

being conducted with a proposed opening date in Spring 2020.

Actions planned to develop institutional structure

The eight staff members of the City's Department of Urban & Economic Development have extensive experience with administering CDBG, HOME and ESG funds. A number of the staff members have been with the Department for close to or exceeding twenty years.

The latest addition to the Department, Derek Crossman, works as a Community Development Specialist. Derek is currently devoting a significant amount of time to the State's Zombie grant efforts. In addition, he is working to improve his knowledge of urban planning issues by enrolling in the Master of Urban & Regional Planning at the University of Albany, with the support of the Department. Given his work on the zombie grants, Derek is also involved with the City's Housing Action Committee and has assisted with the coordinated City of Utica/The Community Foundation of Herkimer & Oneida Counties Downtown Vision Plan and the City's Downtown Revitalization Initiative. As a millennial, Derek has also been instrumental in enhancing the Department's and the City's social media messaging program.

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. Finally, in the last year, the City has established a Housing Action Committee to ensure coordination between the City and its various housing partners; members of the Committee include the City's UED staff, the Continuum of Care, Municipal Housing Authority, the City's Section 8 program, the Greater Mohawk Valley Land Bank, Utica Neighborhood Housing Service and The Community Foundation of Herkimer & Oneida Counties. The City will continue to keep that Committee active through the 2020 – 2021 program year.

Discussion:

Program Specific Requirements

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

Introduction:

Community Development Block Grant Program (CDBG)

Reference 24 CFR 91.220(I)(1)

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

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

Other CDBG Requirements

1. The amount of urgent need activities	0
2. The estimated percentage of CDBG funds that will be used for activities that benefit persons of low and moderate income. Overall Benefit - A consecutive period of one, two or three years may be used to determine that a minimum overall benefit of 70% of CDBG funds is used to benefit persons of low and moderate income. Specify the years covered that include this Annual Action Plan.	90.00%

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 for developers seeking HOME funds is

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. The City's other CHDO, Johnson Park Center, has used HOME funds in coordination with Homeless Housing Assistance Program funds to develop permanent housing for the chronically homeless. Furthermore, developers have been utilizing funding opportunities 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 (like the previous owner) 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 on investment, not a market return, to the seller (initial investment + reasonable improvements). This policy was most-recently used in 2018 in the process of guiding a homeowner-initiated resale of a HOME-funded property with four years remaining on the Affordability Period.

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(l)(4)**

1. Include written standards for providing ESG assistance (may include as attachment)
 1. a. 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.
 1. 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).
 1. 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 in the 2020 Ranking Committee are Steve Darman - MV Housing and Homeless Coalition, Michael Peek - City of Utica, Robin Robinson - United Way of the Valley and Greater Utica, Mary Kernan – NYS Dept of Family Assistance, and Sheila Nova – MV Housing and Homeless Coalition. 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.
 1. The City of Utica is able to meet the requirements of 24 CFR 576.405(a).
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:

1. 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.
2. Using current research on the most effective long-term solutions to homelessness including the Federal Strategic Plan to Prevent and End Homelessness (Opening Doors available from the US Interagency Council on Homelessness at http://usich.gov/index.php/opening_doors/) and reflected in HUD's annual Notice of Funding Availability for homeless assistance programs.
3. 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.
4. 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.
5. The reality that many homeless persons and families need more than a housing unit to achieve long term housing stability. A wide range for 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.
6. 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



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MAYOR

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BRIAN THOMAS, AICP
COMMISSIONER

City of Utica, New York

CARES Act

Emergency Solutions Grant – CV Substantial Amendment

May 20, 2020

The Coronavirus Aid, Relief and Economic Security Act (CARES Act) (Public Law 116-136) provided entitlement communities with \$4 billion in supplemental Emergency Solutions Grant (ESG) Program funding to prevent, prepare for and respond to the global coronavirus pandemic. This funding is administered by the United States Department of Housing & Urban Development (HUD). Based on the current entitlement formula used to calculate annual ESG allocations, HUD has notified the City of Utica that it will receive a supplemental allocation of ESG-CV funds totaling \$743,966.

In order to access the supplemental ESG-CV funds, the CARES Act requires that entitlement communities submit a Substantial Amendment to HUD through HUD's Integrated Disbursement and Information System (IDIS). Additionally, HUD has asked that entitlement communities amend their latest approved Annual Action Plan. On May 14, 2020, HUD notified the City of Utica that its Program Year 2020 Annual Action Plan had been reviewed and approved; as such, the City of Utica is proposing to amend its 2020 Annual Action Plan to include any and all supplemental CARES Act funding, including ESG-CV, the subject of this notice.

Under ordinary circumstances, the City's Citizen Participation Plan requires that public notice be provided at least thirty (30) days prior to the submission of a Substantial Amendment to HUD. However, in light of the current pandemic, ESG-CV recipients have been given the flexibility to omit the usual citizen participation and consultation requirements and instead publish how it has and will use its allocation online; the posting of this notice at www.cityofutica.com fulfills that requirement.

In developing the plan summarized below for the expenditure of its supplemental ESG-CV funds, the City of Utica consulted extensively with the Mohawk Valley Housing & Homeless Coalition, the area's Continuum of Care. As a result of that consultation, the plan addresses a variety of priorities, including:

- Providing assistance to existing emergency shelters that have been impacted by the coronavirus;
- Addressing rapid rehousing as a means of controlling the spread of the virus by the more transient segment of the City's homeless/at-risk population; and the
- Prevention of homelessness through rent relief for low-income persons and families.

WWW.CITYOFUTICA.COM

Proposed Activity/Description	Amount
Emergency Shelter	
To address impacts to existing shelters as a result of COVID-19 - need to purchase PPE, additional staff time for disinfecting, meeting social distancing requirements, etc.	
Rescue Mission Men's Shelter	\$100,000
YWCA Domestic Violence Shelter	\$25,000
Johnson Park Center	\$25,000
Rapid Rehousing	
Moving 18- to 25-year olds from shelters into permanent housing; to be administered by ICAN	\$179,600
Homelessness Prevention	
Rent Relief Program - assist renters with family incomes less than 50% of area median income with up to three months' rent, including arrears; payment to be made directly to landlords. City will contract the administration of this program to a local agency to be selected based on a competitive Request For Proposal (RFP) process.	\$330,000
Administration & HMIS Reporting	
HMIS Data/Reporting	\$10,000
Administration (10%)	\$74,366
	\$743,966

With respect to the rent relief program, it is important to note that standard ESG rules limit such assistance to persons and families up to 30% of the area median income (AMI). The CARES Act, however, provides entitlement communities with the flexibility to assist persons and families up to 50% of AMI.

This notice has been posted to the City of Utica's website: www.cityofutica.com on Wednesday, May 20, 2020. The City intends to submit its ESG-CV Substantial Amendment to its Program Year 2020 Annual Action Plan electronically to HUD no later than Friday, May 22, 2020. Comments on this Substantial Amendment may be e-mailed to Commissioner of Urban & Economic Development Brian Thomas, AICP at bthomas@cityofutica.com.



CITY OF UTICA, NEW YORK

DEPARTMENT OF URBAN & ECONOMIC DEVELOPMENT

HOME INVESTMENT PARTNERSHIPS PROGRAM
RESALE/RECAPTURE POLICY
(HOME MANUAL § 5.12)

BACKGROUND

UED has two options for controlling the resale of the homebuyer property during the affordability period -- the recapture option and the resale option. UED may decide which option to choose.

While the recapture option is simplest, using either the recapture option or the resale option to respond to different market conditions. UED will select which option to use before the assistance is provided to the homebuyer.

In order to discuss the two options, it helps to understand several terms:

- **Direct subsidy:** A direct subsidy consists of any financial assistance that reduces the purchase price from fair market value to an affordable price, or otherwise directly subsidizes the purchase (e.g., downpayment or closing cost assistance, subordinate financing).
- **Development subsidy:** A development subsidy is the difference between the cost to develop housing and the market price. *For example*, the PJ might provide a \$50,000 construction loan to a developer. The appraised value after construction will be \$45,000 because of neighborhood and market conditions. The \$5,000 difference between the \$45,000 sale price and \$50,000 construction loan is not repaid to the PJ and represents a development subsidy provided to the developer. While the subsidy does not go directly to the homebuyer, it helps make development of an affordable home feasible.
- **Homebuyer investment:** The homebuyer's investment consists of the portion of initial downpayment paid by the homebuyer combined with the value of any capital improvements made with the homebuyer's funds.
- **Net proceeds:** The net proceeds of a sale are the sales price minus non-HOME loan repayments and any closing costs.

Consistent with 24 CFR Part 92.254(a)(4), the following minimum period of affordability shall be enforced:

<u>HOME amount per unit</u>	<u>Minimum Period of Affordability</u>
Under \$15,000	5 years
\$15,000 to \$40,000	10 years
Over \$40,000	15 years

For additional information on implementing HOME Resale and Recapture provisions please see CDP Notice 12-003 at the following link below.

 [CPD Notice 12-003 Guidance on Resale and Recapture Provision Requirements under the HOME program](#)

POLICY

Resale

Resale restrictions will not require the repayment of subsidies; instead, they will preserve the value of the subsidies - as well as the value of neighborhood efforts to increase real estate values - by fixing the subsidy in the home so that the subsidy is passed on to subsequent owners.

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 (**See Appendix E**). In order to determine fair return on investment the City will use the Federal Housing Finance Agency Housing Price Index Calculator as the objective standard for determining appreciation or depreciation of a house. The HPI Calculator is currently located at <http://www.fhfa.gov/DataTools/Tools/Pages/HPI-Calculator.aspx> and projects what a given house purchased at a point in time would be worth today if it appreciated at the average appreciation rate of all homes in the area. The calculation shall be performed for the Utica-Rome, New York Metropolitan Statistical Area.

Resale price restrictions will be implemented by the City of Utica or a qualified nonprofit developer 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 remainder of the affordability period, or full affordability period if new HOME assistance is proved to the new buyer. The effectiveness of that preemptive right depends on the continued ability of the developer, CHDO or City to exercise said right, which is why it must be expressly stated in the restrictive covenants and mortgage documents.

Census tracts where resale will be applied include traditionally weak housing market neighborhoods where housing prices have either remained the same over the last ten years, or in some instances, decreased. They include:

- Census Tract 203
- Census Tract 207.01
- Census Tract 208.03
- Census Tract 209
- Census Tract 210
- Census Tract 211.01
- Census Tract 211.02
- Census Tract 212.01
- Census Tract 212.02
- Census Tract 215



Enforcement Mechanisms - Resale requirements shall be enforced through deed restriction, covenant, land use restriction agreement, or other similar mechanism filed with the Utica Recorder of Deeds and the requirements within shall be triggered upon sale or transfer of the HOME-assisted property.

Foreclosure under Resale - Foreclosure also triggers Resale provisions. Under a foreclosure scenario UED will enforce its deed restriction/land use agreement to ensure the house is sold to another low-income buyer, as defined by HOME regulations, at an affordable price. UED will incorporate a **right of first refusal** under a foreclosure scenario into the deed restriction, allowing the developer the right to purchase the property prior to or at foreclosure sale in order to preserve the affordability, in lieu of repaying the HOME investment to HUD.

Recapture

UED requires that when the recapture requirement is triggered by a sale (whether voluntary or involuntary), it will recapture the Home investment up to the total net proceeds remaining after the sale as modified by program specific choices under 24 CFR Part 92.254(a)(5)(ii)(A)(1) through (4). The City’s recapture provisions, which will be applied to projects in the remaining census tracts not outlined above, must ensure that the City’s HOME Program recoup all or a portion of the HOME assistance provided to the homebuyer, if the housing does not continue to be the principal place of residence of the family for the duration of the affordability period. The homeowner may sell the property to any willing buyer, at any price, at any time. If the net proceeds are not sufficient to recapture the full HOME investment, plus enable the homeowner to recover the amount of the homeowners’ down payment and any value added capital improvements (See **Appendix E**) made by the owner to building structure since purchase, then the City will use the following two step formula to calculate a sharing of the net proceeds:

1. (Sales Price) – (Private Debt) – (Closing Costs) = Maximum net proceeds (MNP) available for recapture
2. (MNP) – (Buyer initial investment) = Amount to recapture

Example

\$ 80,000	Sales proceeds
\$ 60,000	Private debt
<u>\$ 5,000</u>	<u>Closing Costs</u>
\$ 15,000	MNP
\$15,000	MNP
\$ 5,000	Original homeowner down payment
<u>\$ 5,000</u>	<u>Value-added homeowner improvements to structure/fixtures</u>
\$ 5,000	Amount to recapture

Mortgage Release - Upon receipt of recaptured funds, UED shall file a “Release” document with the Utica Recorder of Deeds to release the original HOME-assisted homebuyer from the requirements of the mortgage or other similar mechanism.

Recaptured Funds – Any recaptured funds due to enforcement of City’s recaptured policy shall be remitted directly to UED to be utilized for HOME-eligible activities only. They funds will be considered Recaptured Funds.

UED may permit subsequent buyer to assume the remaining affordability period if the subsequent buyer is low-income. This will be reviewed on a case by case basis.

Enforcement Mechanisms - Recapture provisions shall be enforced through a mortgage, note and Recapture Agreement filed with the Utica Recorder of Deeds, and the requirements within shall be triggered upon sale or transfer of the HOME-assisted property.

Foreclosure under Recapture - Foreclosure also triggers Recapture provisions. Under a foreclosure scenario UED will enforce its recapture agreement subject to availability of net proceeds. If as a result of the foreclosure sale, net proceeds are not sufficient to recapture the entire HOME investment, the balance of the HOME investment will be forgiven.

Grantee Unique Appendices



CITY OF UTICA, NEW YORK
DEPARTMENT OF URBAN & ECONOMIC DEVELOPMENT

HOME INVESTMENT PARTNERSHIPS PROGRAM
RESALE/RECAPTURE POLICY
(HOME MANUAL § 5.12)

Adopted: April 1, 2013

Last Revised: June 1, 2015

BACKGROUND

UED has two options for controlling the resale of the homebuyer property during the affordability period – the recapture option and the resale option. UED may decide which option to choose.

While the recapture option is simplest, using either the recapture option or the resale option to respond to different market conditions. UED will select which option to use before the assistance is provided to the homebuyer.

In order to discuss the two options, it helps to understand several terms:

- **Direct subsidy:** A direct subsidy consists of any financial assistance that reduces the purchase price from fair market value to an affordable price, or otherwise directly subsidizes the purchase (e.g., downpayment or closing cost assistance, subordinate financing).
- **Development subsidy:** A development subsidy is the difference between the cost to develop housing and the market price. *For example*, the PJ might provide a \$50,000 construction loan to a developer. The appraised value after construction will be \$45,000 because of neighborhood and market conditions. The \$5,000 difference between the \$45,000 sale price and \$50,000 construction loan is not repaid to the PJ and represents a development subsidy provided to the developer. While the subsidy does not go directly to the homebuyer, it helps make development of an affordable home feasible.
- **Homebuyer investment:** The homebuyer’s investment consists of the portion of initial downpayment paid by the homebuyer combined with the value of any capital improvements made with the homebuyer’s funds.
- **Net proceeds:** The net proceeds of a sale are the sales price minus non-HOME loan repayments and any closing costs.

Consistent with 24 CFR Part 92.254(a)(4), the following minimum period of affordability shall be enforced:

<u>HOME amount per unit</u>	<u>Minimum Period of Affordability</u>
Under \$15,000	5 years
\$15,000 to \$40,000	10 years
Over \$40,000	15 years

For additional information on implementing HOME Resale and Recapture provisions please see CDP Notice 12-003 at the following link below.

 [CPD Notice 12-003 Guidance on Resale and Recapture Provision Requirements under the HOME program](#)

POLICY

Resale

Resale restrictions will not require the repayment of subsidies; instead, they will preserve the value of the subsidies - as well as the value of neighborhood efforts to increase real estate values - by fixing the subsidy in the home so that the subsidy is passed on to subsequent owners.

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 (See Appendix E). In order to determine fair return on investment the City will use the Federal Housing Finance Agency Housing Price Index Calculator as the objective standard for determining appreciation or depreciation of a house. The HPI Calculator is currently located at <http://www.fhfa.gov/DataTools/Tools/Pages/HPI-Calculator.aspx> and projects what a given house purchased at a point in time would be worth today if it appreciated at the average appreciation rate of all homes in the area. The calculation shall be performed for the Utica-Rome, New York Metropolitan Statistical Area.

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- Census Tract 208.03
- Census Tract 209
- Census Tract 210
- Census Tract 211.01
- Census Tract 211.02
- Census Tract 212.01
- Census Tract 212.02
- Census Tract 215



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Foreclosure under Recapture - Foreclosure also triggers Recapture provisions. Under a foreclosure scenario UED will enforce its recapture agreement subject to availability of net proceeds. If as a result of the foreclosure sale, net proceeds are not sufficient to recapture the entire HOME investment, the balance of the HOME investment will be forgiven.

Grantee SF-424's and Certification(s)

OMB Number 4040-0004
Expiration Date 12/31/2012

Application for Federal Assistance SF-424			
*1. Type of Submission: <input type="checkbox"/> Pre-application <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Continued Application		*2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	
*3. Date Received: 07/17/2012		*4. Applicant Identifier: H-01-H-010-000	
*5. Federal Entity Identifier: [Empty]		*6. Federal Award Identifier: [Empty]	
State Use Only:			
*8. Date Received by State: [Empty]		*7. State Applicant Identifier: [Empty]	
II. APPLICANT INFORMATION:			
*9. Legal Name: [Empty]			
*10. Employer/Taxpayer Identification Number (EIN): 9-800-418		*11. Organizational DUNS: 01059159800	
d. Address:			
*Street:	1 Kennedy Plaza		
*Street:	[Empty]		
*City:	Utica		
*County/Parish:	[Empty]		
*State:	NY, New York		
*Province:	[Empty]		
*Country:	USA, UNITED STATES		
*Zip/Postal Code:	12502-1470		
e. Organizational Unit:			
Department Name: Urban and Economic Development		Division Name: [Empty]	
f. Name and contact information of person to be contacted on matters involving this application:			
*Prefix:	Hr.	*First Name:	Erica
*Middle Name:	[Empty]		
*Last Name:	Thomas		
*Suffix:	[Empty]		
Title: Commissioner, Urban and Economic Development			
Organization Address: [Empty]			
*Telephone Number: 515-792-0142		*Fax Number: 515-797-0007	
*Email: brw@er.netystation.com			

Application for Federal Assistance SF-424	
* 9. Type of Applicant 1: Select Applicant Type:	
<input type="text" value="City of Utica - Township Based Contract"/>	
Type of Applicant 2: Select Applicant Type:	
<input type="text"/>	
Type of Applicant 3: Select Applicant Type:	
<input type="text"/>	
* Other (specify):	
<input type="text"/>	
* 10. Name of Federal Agency:	
<input type="text" value="U.S. Dept. of Education - Federal Development"/>	
* 11. Catalog of Federal Domestic Assistance Number:	
<input type="text" value="17-24"/>	
CFDA Title:	
<input type="text" value="Construction of Physical Education"/>	
* 12. Funding Opportunity Number:	
<input type="text"/>	
* Title:	
<input type="text"/>	
* 13. Competition Identification Number:	
<input type="text"/>	
* Title:	
<input type="text"/>	
* 14. Areas Affected by Project (Cities, Counties, States, etc.):	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
* 15. Descriptive Title of Applicant's Project:	
<input type="text" value="City of Utica, New York, Community Development - Track Expansion Annual Plan"/>	
Attach supporting documents as specified in agency instructions:	
<input type="button" value="Add Attachments"/>	<input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/>

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant: <input type="text" value="24"/>	* b. Program/Project: <input type="text" value="24"/>
Attach an additional list of Program/Project Congressional Districts if needed	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
17. Proposed Project:	
* a. Start Date: <input type="text" value="04/01/2020"/>	* b. End Date: <input type="text" value="03/31/2021"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text" value="658,390.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="658,390.00"/>
* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on: <input type="text"/>	
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
<input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372.	
* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
if "Yes", provide explanation and attach	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)	
<input checked="" type="checkbox"/> ** I AGREE	
<small>** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</small>	
Authorized Representative:	
Prefix: <input type="text" value="Mr."/>	* First Name: <input type="text" value="Robert"/>
Middle Name: <input type="text" value="H."/>	
* Last Name: <input type="text" value="Palmieri"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Mayor, City of Utica"/>	
* Telephone Number: <input type="text" value="315-792-0100"/>	Fax Number: <input type="text" value="315-734-9250"/>
* Email: <input type="text" value="mayor@cityofutica.com"/>	
* Signature of Authorized Representative: 	* Date Signed: <input type="text" value="03/16/2020"/>


Application for Federal Assistance SF-424		
1. Type of Submission <input type="checkbox"/> Pre-application <input checked="" type="checkbox"/> Application <input type="checkbox"/> Change/amended Application	2. Type of Application <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	3. Revision, serial exception, late fee <input type="text"/> Other Agency <input type="text"/>
5. Form Revision: 02/15/2009	4. Applicant Identifier: 8100-001-96-0116	
6a. Federal Entity Identifier: <input type="text"/>	6b. Federal Award Identifier: <input type="text"/>	
State Use Only:		
8. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>	
B. APPLICANT INFORMATION:		
* a. Legal Name: <input type="text" value="City of Utica, New York"/>		
* b. Federal Tax Department Identifier Number (FDID#): <input type="text" value="15-7900-010"/>	* c. Organization's DUNS <input type="text" value="213125540000"/>	
d. Address:		
* Street1: <input type="text" value="1 Kennedy Plaza"/>	<input type="text"/>	
* Street2: <input type="text"/>	<input type="text"/>	
* City: <input type="text" value="Utica"/>	<input type="text"/>	
* County/Parish: <input type="text"/>	<input type="text"/>	
* State: <input type="text" value="New York"/>	<input type="text"/>	
* Province: <input type="text"/>	<input type="text"/>	
* Country: <input type="text" value="United States"/>	<input type="text"/>	
* Zip + Postal Code: <input type="text" value="13502-4204"/>	<input type="text"/>	
e. Organizational Unit:		
Department Name: <input type="text" value="Economic Development and Community Development"/>	Division Name: <input type="text"/>	
1. Name and contact information of person to be contacted on matters involving this application.		
* Title: <input type="text" value="Economic Development Director"/>	<input type="text"/>	
* First Name: <input type="text" value="John"/>	<input type="text"/>	
* Last Name: <input type="text" value="Thomas"/>	<input type="text"/>	
* Full Name: <input type="text"/>	<input type="text"/>	
* Telephone Number: <input type="text" value="518-748-3188"/>	* Fax Number: <input type="text" value="518-748-3100"/>	
* Email: <input type="text" value="john.thomas@utica.ny.us"/>		

Application for Federal Assistance SF-424	
* 9. Type of Applicant: Select Applicant Type: <input type="text" value="Community Development Corporation"/> Type of Applicant: Select Applicant Type: <input type="text" value="Community Development Corporation"/> Type of Applicant: Select Applicant Type: <input type="text" value="Community Development Corporation"/> Other (specify): <input type="text" value=""/>	
* 10. Name of Federal Agency: <input type="text" value="U.S. Department of Housing and Urban Development"/>	
11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14-254"/> OFFICE Title: <input type="text" value="Community Development Block Grant Analyst"/>	
* 12. Funding Opportunity Number: <input type="text" value=""/> Title: <input type="text" value=""/>	
13. Competition Identification Number: <input type="text" value=""/> Title: <input type="text" value=""/>	
14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text" value=""/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
* 15. Descriptive Title of Applicant's Project: <input type="text" value="Project to build new town, Community Development Block Grant Analyst"/>	
Attach supporting documents as specified in agency instructions. <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/>	

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant: <input type="text" value="24"/>	* b. Program/Project: <input type="text" value="24"/>
Attach an additional list of Program/Project Congressional Districts if needed.	
<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
17. Proposed Project:	
* a. Start Date: <input type="text" value="04/01/2020"/>	* b. End Date: <input type="text" value="03/31/2021"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text" value="2,567,049.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="280,000.00"/>
* g. TOTAL	<input type="text" value="2,847,049.00"/>
* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/>	
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
<input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372.	
* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes", provide explanation and attach	
<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>	
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<input checked="" type="checkbox"/> ** I AGREE	
<small>** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</small>	
Authorized Representative:	
Prefix: <input type="text" value="Mr."/>	* First Name: <input type="text" value="Robert"/>
Middle Name: <input type="text" value="M."/>	
* Last Name: <input type="text" value="Palmeri"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Mayor, City of Utica"/>	
* Telephone Number: <input type="text" value="315-792-0100"/>	Fax Number: <input type="text" value="315-794-9250"/>
* Email: <input type="text" value="mayor@cityofutica.com"/>	
* Signature of Authorized Representative: 	* Date Signed: <input type="text" value="03/16/2020"/>

Application for Federal Assistance SF-424		
*1 Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	*2 Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	*3 (If you wish, select appropriate category): <input type="text"/> *4 Other (Specify): <input type="text"/>
*5 Date Received: 03/16/2013	*4 Applicant Identifier: 5-0-0000-0000	
*6 Federal Entity Identifier: <input type="text"/>	*5 Federal Award Identifier: <input type="text"/>	
State Use Only:		
*6 Date Received by State: <input type="text"/>	*7 State Application Identifier: <input type="text"/>	
8. APPLICANT INFORMATION:		
*8 a. Legal Name: <input type="text"/> (City and State, New York)		
*8 b. Employer/ taxpayer Identification Number (EIN/TIN): 12-0000-0000	*8 c. Organization DUNS: 010000000000	
d. Address:		
*9 Street: 12345 Main Street	*9 City: New York	
*9 State: NY	*9 Zip/Postal Code: 10001-0001	
e. Organizational Unit:		
*10 Department Name: Department of Health	*10 Division Name: Division of Health Services	
f. Name and contact information of person to be contacted on matters involving this application:		
*11 Prefix: Mr.	*11 First Name: John	*11 Last Name: Doe
*11 Middle Name: <input type="text"/>		
*11 Title: Director		
*11 Phone Number: 212-555-1234		
*11 Fax Number: 212-555-5678		
*11 Email: john.doe@state.ny.us		

Application for Federal Assistance SF-424	
9. Type of Applicant 1: Select Applicant Type: <input type="text" value="City of Utica Community Development"/>	
Type of Applicant 2: Select Applicant Type: <input type="text"/>	
Type of Applicant 3: Select Applicant Type: <input type="text"/>	
* Other (specify): <input type="text"/>	
* 10. Name of Federal Agency: <input type="text" value="U.S. Dept. of Housing & Urban Development"/>	
11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14 218"/>	
C. DA Title <input type="text" value="Enterprise Solutions Grant"/>	
* 12. Funding Opportunity Number: <input type="text"/>	
* Title <input type="text"/>	
13. Competition Identification Number: <input type="text"/>	
Title <input type="text"/>	
14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text"/> <div style="text-align: right;"> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </div>	
* 15. Descriptive Title of Applicant's Project: <input type="text" value="City of Utica, New York, Community Development, Block Grant Award Title"/>	
Attach supporting information as separate file(s) for agency reference: <div style="text-align: right;"> <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/> </div>	

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant: <input type="text" value="21"/>	* b. Program/Project: <input type="text" value="23"/>
Attach an additional list of Program/Project Congressional Districts if needed	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
17. Proposed Project:	
* a. Start Date: <input type="text" value="04/01/2020"/>	* b. End Date: <input type="text" value="03/31/2021"/>
18. Estimated Funding (\$):	
* a. Federal	<input type="text" value="215,750.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="215,750.00"/>
* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/>	
<input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.	
<input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372.	
* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
If "Yes", provide explanation and attach	
<input type="text"/>	<input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)	
<input checked="" type="checkbox"/> ** I AGREE	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
Authorized Representative:	
Prefix: <input type="text" value="Mr."/>	* First Name: <input type="text" value="Robert"/>
Middle Name: <input type="text" value="S."/>	
* Last Name: <input type="text" value="Palmer"/>	
Suffix: <input type="text"/>	
* Title: <input type="text" value="Mayor, City of Utica"/>	
* Telephone Number: <input type="text" value="315-762-0100"/>	Fax Number: <input type="text" value="315-334-9250"/>
* Email: <input type="text" value="mayor@cityofutica.com"/>	
* Signature of Authorized Representative: 	* Date Signed: <input type="text" value="03/16/2020"/>

Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Pre-application <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changes/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): _____ * Other (Specify): _____
* 3. Date Received: 05/21/2020	* 4. Applicant Identifier: C-20-MC-35-0010	
* 6a. Federal Entity Identifier: _____	* 6b. Federal Award Identifier: _____	
State Use Only:		
* 6. Date Received by State: _____	* 7. State Application Identifier: _____	
8. APPLICANT INFORMATION:		
* 9. Legal Name: City of Utica, New York		
* 10. Employer/Agency Identification Number (EIN/TIN): 15-6000-118	* 11. Organization OUNS: 0107599590000	
d. Address:		
* Street: 1 Kennedy Plaza	Street2: _____	
* City: Utica	City2: _____	
* County: Oneida	County2: _____	
* State: New York	State2: _____	
* Province: _____	Province2: _____	
* Country: _____	Country2: UNITED STATES	
* Zip / Postal Code: 13502-4234	Zip2: _____	
e. Organizational Unit:		
* Department Name: Department of Urban & Economic Development	* Division Name: _____	
f. Name and contact information of person to be contacted on matters involving this application:		
* Prefix: Mr.	* First Name: Brian	* Last Name: Thomas
* Title: Commissioner of Urban & Economic Development	* Phone: _____	
* Fax: _____		
* E-mail: bthomas@cityofutica.com		

Application for Federal Assistance SF-424	
9. Type of Applicant 1: Select Applicant Type: <input type="checkbox"/> G: City or Township Government	
Type of Applicant 2: Select Applicant Type: <input type="checkbox"/>	
Type of Applicant 3: Select Applicant Type: <input type="checkbox"/>	
* Other (specify): <input type="checkbox"/>	
* 10. Name of Federal Agency: United States Department of Housing & Urban Development	
11. Catalog of Federal Domestic Assistance Number: 14-218 CFDA Title: Emergency Solutions Grant	
* 12. Funding Opportunity Number: <input type="checkbox"/> Title: 	
13. Competition Identification Number: <input type="checkbox"/> Title: 	
14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="checkbox"/>	
* 15. Descriptive Title of Applicant's Project: City of Utica, New York PY2020 CARES Act Amendment ESG-CV	
All reporting requirements as specified in agency instructions	

Application for Federal Assistance SF-424	
16. Congressional Districts Of:	
* a. Applicant: 24	* b. Program/Items: 24
Attach an additional list of Program/Project Congressional Districts if needed:	
17. Proposed Project:	
* a. Start Date: 03/27/2020	* b. End Date: 03/31/2021
18. Estimated Funding (\$):	
* a. Federal: 743966	
* b. Applicant:	
* c. State:	
* d. Local:	
* e. Other:	
* f. Program Income:	
* g. TOTAL: 743966	
19. Is Application Subject to Review By State Under Executive Order 12872 Process?	
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12872 Process for review on:	
<input type="checkbox"/> b. Program is subject to E.O. 12872 but has not been selected by the State for review.	
<input checked="" type="checkbox"/> c. Program is not covered by E.O. 12872.	
20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.) Applicant Federal Debt Delinquency Explanation	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
21. "By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001)	
<input checked="" type="checkbox"/> ** I AGREE	
<small>** The list of certifications and assurances, or an Internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</small>	
Authorized Representative:	
Prefix: Mr.	* First Name: Robert
Middle Name: M.	
* Last Name: Palmieri	
Suffix:	
* Title: Mayor, City of Utica	
* Telephone Number: 315-792-0100	* Fax Number: 315-794-9280
* Email: mayor@cityofutica.com	
* Signature of Authorized Representative: 	* Date Signed: 05/21/2020

Community Development Block Grant

OMB Approval No. 1548-0047

ASSURANCES - CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4726-4763) relating to prescribed standards for merit systems for programs funded under one of the 13 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-362) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1685, and 1686-1626), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§520 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290a-3 and 290a-5), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

Previous Edition Usable

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Standard Form 424D (Rev. 7-97)
Prescribed by OMB Circular A-102

11. Will comply, or has already complied, with the requirements of Title II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7374-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 1021a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which require recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) installation of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11614; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11980; (d) evaluation of flood hazards in floodplains in accordance with EO 11982; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 172(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-203).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§489a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Mayor, City of Utica, New York
APPLICANT ORGANIZATION City of Utica, New York	DATE SUBMITTED April 27, 2020

SF-424D (Rev. 7-97) Back

HOME INVESTMENT PARTNERSHIP

OMB Approval No. 2549-0042

ASSURANCES - CONSTRUCTION PROGRAMS

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PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:


1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capacity (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the completed work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4765) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4901 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title X of the Education Amendments of 1972, as amended (20 U.S.C. §§1581-1653, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-206), as amended, relating to non-discrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-618), as amended, relating to non-discrimination on the basis of alcohol abuse or alcoholism; (g) §§625 and 627 of the Public Health Service Act of 1972 (42 U.S.C. §§200 dd-3 and 200 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§801 et seq.) as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other non-discrimination statute(s) which may apply to the application.

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Prescribed by OMB Circular A-102

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and Federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7); the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874); and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-335) regarding labor standards for Federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 1021a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11890; (d) evaluation of flood hazards in floodplains in accordance with EO 11998; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1966, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470); EO 11590 (identification and protection of historic properties); and the Archeological and Historic Preservation Act of 1974 (16 U.S.C. §§460a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133 "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 	TITLE Mayor, City of Utica, New York
AFFILIANT ORGANIZATION City of Utica, New York	DATE SUBMITTED April 27, 2020

SF-424D (Rev. 7-97) Back

EMERGENCY SOLUTIONS GRANT

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Approval No. 0348-0042

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As the duly authorized representative of the applicant, I certify that the applicant:

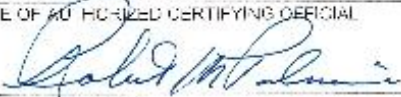
1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt or approval of the awarding agency.
7. Will establish safeguards to protect employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4726-4765) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4901 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107) which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§522 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§220-24-3 and 290-2-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other non-discrimination statute(s) which may apply to the application.

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Prescribed by OMB Circular A-102

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12. Will comply with the provisions of the Hahn Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 107(c) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurance construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) installation of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11914; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions in State (Clean Air) Implementation Plans under Section 175(c) of the Clean Air Act of 1965, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974 as amended (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audit of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 		TITLE Mayor, City of Utica, New York
APPLICANT ORGANIZATION City of Utica, New York		DATE SUBMITTED April 27, 2020

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ES9-CV

OMB Approval No. 0348-0042

ASSURANCES - CONSTRUCTION PROGRAMS

Please reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:


1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§1728-1765) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title V of the Civil Rights Act of 1964 (P.L. 88-362) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1685, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-516), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 5d-3 and 290 5e-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VII of the Civil Rights Act of 1968 (42 U.S.C. §§6801 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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Standard Form 424D (Rev. 7-97)
Prescribed by OMB Circular A-102

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7321-7322) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a-1 to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §274), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§227-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11736; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of food hazards in floodplains in accordance with EO 11966; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523), and; (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, 'Audits of States, Local Governments, and Non-Profit Organizations.'
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL 		TITLE Mayor, City of Utica, New York	
APPLICANT ORGANIZATION City of Utica, New York		DATE SUBMITTED May 21, 2020	

SF-424D (Rev. 7-97) Back

CERTIFICATIONS

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

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

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

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

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-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 Community Development Block Grant, HOME, Emergency Solutions Grant, and Housing Opportunities for Persons With AIDS funds are consistent with the strategic plan in the jurisdiction's consolidated plan.

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


Signature of Authorized Official

03/15/2020
Date

Mayor, City of Utica, New York
Title

Specific Community Development Block Grant Certifications

The Entitlement Community certifies that:

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

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

Following a Plan -- It is following a current consolidated plan that has been approved by 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 has developed its Action Plan so as to give maximum feasible priority to activities which benefit low- and moderate-income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include CDBG-assisted activities which the grantee certifies are designed to meet other community development needs having particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available (see Optional CDBG Certification).

2. Overall Benefit. The aggregate use of CDBG funds, including Section 108 guaranteed loans, during program year(s) 2019, 2020 & 2021 [a period specified by the grantee of one, two, or three specific consecutive program years], shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period.

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

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

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

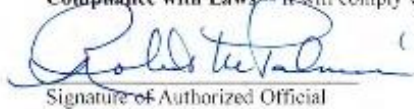
Excessive Force -- It has adopted and is enforcing:

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

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

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

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



Signature of Authorized Official

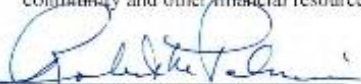
03/16/2020
Date

Mayor, City of Utica, New York
Title

OPTIONAL Community Development Block Grant Certification

Submit the following certification only when one or more of the activities in the action plan are designed to meet other community development needs having particular urgency as specified in 24 CFR 570.208(c):

The grantee hereby certifies that the Annual Plan includes one or more specifically identified CDBG-assisted activities which are designed to meet other community development needs having particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community and other financial resources are not available to meet such needs.



Signature of Authorized Official

03/16/2020
Date

Mayor, City of Utica, New York
Title

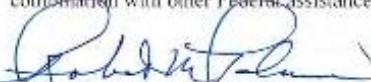
Specific HOME Certifications

The HOME participating jurisdiction certifies that:

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

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

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



Signature of Authorized Official

03/18/2020

Date

Mayor, City of Utica, New York
Title

Emergency Solutions Grants Certifications

The Emergency Solutions Grants Program recipient certifies that:

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

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

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

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

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

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

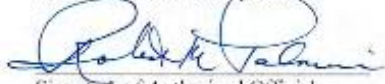
Matching Funds – The recipient will obtain matching amounts required under 24 CFR 576.201.

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

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

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

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


Signature of Authorized Official

03/16/2020
Date

Mayor, City of Utica, New York
Title

APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING CERTIFICATION:

Lobbying Certification

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

INTERIM ESG-CV Certifications (NON-STATE)

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.

EXCEPTION: In accordance with the CARES Act, the certifications in this paragraph do not apply with respect to CARES Act funding that is used to provide temporary emergency shelters (through leasing of existing property, temporary structures, or other means) to prevent, prepare for, and respond to coronavirus.

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.

EXCEPTION: In accordance with the CARES Act, the certification in this paragraph does not apply with respect to CARES Act funding that is used to provide temporary emergency shelters (through leasing of existing property, temporary structures, or other means) to prevent, prepare for, and respond to coronavirus.

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 576.204.~~

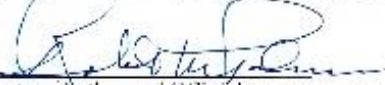
Confidentiality – The jurisdiction has established and is implementing procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release 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.

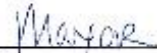
Homeless Persons Involvement – To the maximum extent practicable, the jurisdiction will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under the ESG program, in providing services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

05/21/2020
Date


Title

Appendix - Alternate/Local Data Sources

1	<p>Data Source Name</p> <p>General Community Survey</p>
	<p>List the name of the organization or individual who originated the data set.</p> <p>The City of Utica Department of Urban and Economic Development of Urban, in conjunction with the Rust2Green Urban Planning Studio and Cornell Cooperative Extension developed, distributed and analyzed the data derived from this comprehensive community survey.</p>
	<p>Provide a brief summary of the data set.</p> <p>Surveys were made available to the community in late 2014 for a roughly 4 week period; the survey was available both online and paper copy. The City received 850 responses. The City worked with the Utica City School District to gather input to the survey from the 10th grade class at Proctor High School. For this survey, the City received 1208 responses.</p> <p>Surveys included a broad range of questions asking respondents to identify their community needs across program areas and to rate the City's performance on meeting many of the needs identified in the 2010-2014 Consolidated Plan and the Roundtables. The survey was available in many languages to ensure that non/limited-English speaking citizens could participate.</p>
	<p>What was the purpose for developing this data set?</p> <p>The purpose of developing this data set was gain additional community input in order to develop the Consolidated Plan, Community Needs Assessment Action Plan and First Year Annual Action Plan</p>
	<p>Provide the year (and optionally month, or month and day) for when the data was collected.</p> <p>Surveys were conducted open to the public between November 2014 and January 2015.</p>
	<p>Briefly describe the methodology for the data collection.</p> <p>Data collected electronically was automatically inputted into Cornell University Software. Data received through hard copy was manual entered into the electronic system by City, Rust2Green and Cornell Cooperative Extension staff.</p>
	<p>Describe the total population from which the sample was taken.</p> <p>The general community survey was made available to the entire population of the City of Utica and was available on-line, in community centers, and at the public library. The Student version of the survey was made available to all students at the public high school, Thomas R. Proctor High School.</p>

Describe the demographics of the respondents or characteristics of the unit of measure, and the number of respondents or units surveyed.

850 responses were submitted from the general community and 1,208 responses were submitted from youth at the high school. The respondents were from varied social, economic, and racial backgrounds, however there was a larger response rate from higher income individuals in the general community survey. Given that the youth survey was available through the high school English classes, there was a more diverse population with regard to race and economic status responding, however the age of the respondents was limited to youth between ages 14-21.