



3-5 Year Strategic Plan

This document includes Narrative Responses to specific questions that grantees of the Community Development Block Grant, HOME Investment Partnership, Housing Opportunities for People with AIDS and Emergency Shelter Grants Programs must respond to in order to be compliant with the Consolidated Planning Regulations.

GENERAL

Executive Summary

The Executive Summary is optional, but encouraged. If you choose to complete it, please provide a brief overview that includes major initiatives and highlights that are proposed throughout the 3-5 year strategic planning period.

3-5 Year Strategic Plan Executive Summary:

The City of Utica enters the new 2010-2014 Consolidated Plan term with a fresh focus on long-range planning which has been lacking in the City of Utica for more than half a century. The City is on the threshold of adoption of a new comprehensive plan; the City's last comprehensive plan was completed in 1950. This fresh focus on long-range planning has energized the residents and businesses, evident in the numerous public meetings, forums, focus group meetings and open houses that were held to elicit thoughts and ideas from City residents. Out of the many thoughts and ideas provided by the public has grown a vision for the City which will guide development, funding and growth throughout the City for the next ten to fifteen years.

Beyond the vision for the City, the Plan sets forth a number of guiding principles by which numerous recommendations were developed in key focus areas. The five focus areas, separate elements that when combined form the heart of a community, include: housing and neighborhood development; downtown development; parks, recreation and historic preservation; business and technology and waterfront development; and community infrastructure.

In both process and content, the City's effort to develop a new comprehensive plan has had tremendous impact on the development of this 2010-2014 Consolidated Plan. While the City's comprehensive plan considers the entire City and this Consolidated Plan focuses on assistance to the City's low- and moderate-income residents, there is considerable overlap. Many of the goals and objectives included in the City's comprehensive plan have been incorporated into this Consolidated Plan.

To assist in the implementation of the vision of both the City's new comprehensive plan as well as this 2010-2014 Consolidated Plan, the City has entered into an exciting new partnership with Cornell University. Termed Rust to Green or R2G, the effort in Utica is part of Cornell University's Rust-to-Green Places and Networks in New York State initiative which is a university-community partnership initiated with seed funding through a Hatch grant awarded to Cornell University. R2G is a three- to five-year action-research project intended to produce the following outcomes:

- Green development strategies, initiatives and proposals at both region, city and neighborhood scale that catalyze further transformation toward sustainability and community resilience.
- Advance knowledge and understanding of how to undertake green planning and development in cities that have experienced loss of industry, jobs, economies and population.
- Advance and create innovative sustainable initiatives specifically tied to region and place.
- Foster and enable urban and regional land use decisions consistent with a city's local strengths, potential and identity and their goals related to health, housing, transportation, energy, and economics.
- Foster and promote community-based decision-making by focusing on stakeholder inclusion that involves and educates leaders and citizens about sustainable development.
- Cultivate and encourage engaged democratic processes where the collective power of many- via both grassroots, bottom-up localized initiatives and top-down policies and initiatives, allows the emergence of a sustainable green narrative to re-brand New York's rust belt cities, like Utica, as contemporary and resilient cities of the future.

Cornell University has selected the cities of Utica and Binghamton as pilot project cities for the first phase of the R2G initiative. Teams of professors and students have been meeting regularly in the City since January developing relationships and a plan of action. The team has also had input into the development of both the City's comprehensive plan and this 2010-2014 Consolidated Plan. Implementation of both plans will be a key focus of the team over the next three to five years.

Considerable consultation with the general public and countless agencies and organizations specializing in the areas of housing, social services, economic development, community development and services to the homeless has been conducted in the development of both the 2010-2014 Consolidated Plan and the 2010-2011 Annual Action Plan. The goals and objectives developed and incorporated into this Plan were a direct result of those consultations.

Development of affordable housing continues to be a priority within the City of Utica. While the affordability of housing in the greater Utica-Rome region is constantly cited as one of the area's greatest assets, rehabilitation costs for low- and moderate-income homeowners often make the purchase of such homes too cost-prohibitive. Developers with the means to purchase homes often shy away given the substantial cost of rehabilitation to make some units habitable combined with the nominal rents that would be realized or the negligible profit, if any, to be gained from a sale of the property. Public subsidization of housing rehabilitation, both rental and ownership properties, is the single greatest priority in creating additional affordable housing units in the City of Utica.

In community development, economic development and infrastructure remain top priorities. The Utica-Rome region has long suffered from a lack of employment opportunities, fostered in part by seventy years of population losses like many other upstate New York cities. The recent national recession has not helped this situation as the City of Utica embarks on its 2010-2014 Consolidated Plan. Infrastructure, including deteriorating sewer line, crumbling roads and sidewalks from years of deferred maintenance have concerned the public for years. A consent order issued to the City of Utica by the New York State Department of Environmental

Conservation have only exacerbated concerns for the City's infrastructure, though the consent order has the potential to impact new housing and major economic development projects.

Despite these concerns, the City of Utica remains optimistic that the long-range planning provided for in this Plan and the City's new comprehensive plan will lead to measured solutions.

Strategic Plan

Due every three, four, or five years (length of period is at the grantee's discretion) no less than 45 days prior to the start of the grantee's program year start date. HUD does not accept plans between August 15 and November 15.

Mission:

As the City of Utica embarks on its next Consolidated Plan term in 2010, the City has completed the monumental task of drafting its first comprehensive plan in sixty years. Through many public forums, open houses and neighborhood meetings, a vision statement has slowly evolved. The mission of this Consolidated Plan document is embodied within the City's long-range vision in that all of the elements considered within the 2010-2014 Consolidated Plan - housing, neighborhoods, economic development and infrastructure are addressed within the City's comprehensive plan. The vision statement is as follows:

Utica is the place for people seeking a culturally rich, economically successful and environmentally friendly place to live, visit and conduct business. Our homes, our neighborhoods, our schools, our places of work and play allows for opportunities for an even exchange between people and place; Utica is a community that invites all the qualities within our people to emerge and define our City. Utica is the hub of regional collaboration, social diversity and economic progress. Our City is ripe with potential, which we will maximize with extensive community input, emphasizing high-performance, sustainable economic redevelopment and a healthy network of neighborhoods, parks and waterfront renewal.

In support of that vision statement, the plan also included six Guiding Principles. The Plan espoused the goal of Utica being a thriving City with a vibrant downtown energized by healthy, safe and interconnected neighborhoods. The Plan also called for Utica to be a center of opportunity for collaboration and innovation that builds an entrepreneurial spirit. The City of Utica, according to the Plan, should become the heart of regional creativity through the arts. Additionally, the vision for the City included one whereby the City becomes a community that celebrates diversity as one of its greatest assets. The Plan also called for the City to practice sustainable development in all public and private endeavors. With progress made toward these principles, the Plan felt that the City could be a 'great little American city.'

The City of Utica has invested considerable resources in the development of its first comprehensive plan in sixty years, as well as in the development of this 2010-2014 Consolidated Plan. The City of Utica views the implementation of both Plans over the next five years as being inextricably linked insofar as the needs of the community

are encapsulated in both Plans and those needs have formed the goals and objectives within each Plan.

General Questions

1. Describe the geographic areas of the jurisdiction (including areas of low income families and/or racial/minority concentration) in which assistance will be directed.
2. Describe the basis for allocating investments geographically within the jurisdiction (or within the EMSA for HOPWA) (91.215(a)(1)) and the basis for assigning the priority (including the relative priority, where required) given to each category of priority needs (91.215(a)(2)).
3. Identify any obstacles to meeting underserved needs (91.215(a)(3)).

3-5 Year Strategic Plan General Questions response:

This 2010-2014 Consolidated Plan covers the City of Utica, New York, an entitlement community since the origin of the Community Development Block Grant program in 1974. The City of Utica, New York is the county seat in Oneida County and home to just over 60,000 people according to the 2000 Census, though the 2010 Census is expected to find fewer people calling the City of Utica home. Since 1940, when the City of Utica reached its peak population of just over 100,000, the City of Utica has slowly been losing people to surrounding suburbs, as well as other parts of the country.

As the population outflow has continued to grow, so too have the boundaries of the City's Community Development Block Grant Target Area. In fact, the City anticipates that the results of the 2010 Census will result in yet another increase in the size of the CDBG Target Area. The current boundaries of the CDBG Target Area incorporate the City's Cornhill and West Utica neighborhoods as well as the downtown, where the bulk of the City's low income and minority populations are concentrated. However, the boundaries also include portions of East Utica and South Utica. The only residential neighborhood of the City of Utica not included within the boundaries of the CDBG Target Area is North Utica, which together with South Utica is considered to be the City's more affluent area.

Weighing the various priorities for funding over the next five years covered by this Consolidated Plan has not been an easy task. The sheer age of the City's infrastructure, which has suffered from a prolonged program of deferred maintenance, has resulted in streets that are barely passable; additionally, New York State has issued a consent order to the City of Utica for its combined sanitary/storm sewer whose fix has been estimated at \$150 million. A number of factors including historic population loss, the national recession, the dysfunction of New York State, unfunded mandates force on local municipalities by the State and the high taxes paid by private enterprises in recent years has stymied economic development. Local tax structure and regional politics has created an atmosphere of competition among neighboring communities for tax base generators like big box retail and single-family homes.

These conditions have created a number of competing priorities within the City of Utica, not unlike many local governments across the country. The reality, however, is that there are not sufficient funds to fully address these competing priorities in twenty five years, much less the next five years.

Given these financial constraints, the attached Plan allocates the City's anticipated CDBG, HOME and ESG funds from 2010 through 2014 with a focus on the City's most impoverished neighborhoods, specifically Cornhill and West Utica. The ability to build upon past successes was a contributing factor in assigning priorities to the future funding because while great strides have been made in recent years toward uplifting both neighborhoods, much work remains. New housing construction through the Utica Municipal Housing Authority's (UMHA) HOPE VI grant with significant support from the City's CDBG and HOME funds over a number of successive program years has completely changed the face of entire blocks in both neighborhoods. For that reason, future housing construction projects by UMHA and its subsidiary Community Housing Development Organization (CHDO), Rebuild Mohawk Valley, will be supported by the City to the extent possible.

Asbestos-contaminated homes, largely concentrated in both Cornhill and West Utica, continue to plague the City and affect the health and welfare of far too many babies and children. After a number of unsuccessful attempts to secure federal Lead Hazard Control grants, the City was successful in acquiring roughly \$2 million through the American Recovery and Reinvestment Act. The City will continue to provide local matching funds to these monies with its HOME funding.

Infrastructure, primarily roads and sewers, continues to be a high priority. Much of the City's infrastructure dates back to the early 1900's. Built for a population nearly twice its current size, responsibility for the maintenance and repair of these infrastructure systems has fallen on the current generation of citizens. While local funding addresses the major arteries, CDBG funding has and will continue to address local residential streets which connect the City's many diverse neighborhoods.

Economic development is also cited within this document as a high priority, though one that is not likely to be concentrated in Cornhill or West Utica as these are primarily residential neighborhoods. It is hoped, however, that the residents within these neighborhoods will largely benefit from the new employment opportunities to be created as a result of assisting new and expanding businesses throughout the City of Utica.

Activities and services for youth and seniors will continue to receive funding, primarily with CDBG funds. Such activities and services, however, will not be given as high a priority as new housing construction, infrastructure and economic development.

As noted, the needs within the City of Utica far exceed the funding available. This fact is the most significant obstacle to meeting underserved needs within the City. The City will continue to leverage additional funding at all levels (local, regional, State and private) with its federal funding so as to address as much underserved need as possible.

Managing the Process (91.200 (b))

1. Lead Agency. Identify the lead agency or entity for overseeing the development of the plan and the major public and private agencies responsible for administering programs covered by the consolidated plan.
2. Identify the significant aspects of the process by which the plan was developed, and the agencies, groups, organizations, and others who participated in the process.
3. Describe the jurisdiction's consultations with housing, social service agencies, and other entities, including those focusing on services to children, elderly persons, persons with disabilities, persons with HIV/AIDS and their families, and homeless persons.

*Note: HOPWA grantees must consult broadly to develop a metropolitan-wide strategy and other jurisdictions must assist in the preparation of the HOPWA submission.

3-5 Year Strategic Plan Managing the Process response:

As has historically been the case, the City's Department of Urban & Economic Development staff will be the lead agent in preparing this five year Consolidated Plan and all subsequent Annual Action Plans in furtherance of the Consolidated Plan. The Department is currently comprised of a total of eight (8) employees with oversight responsibility by the Director of Community Revitalization. The staff also includes the following positions: Director of Urban Planning, Senior Planner, Finance Administrator, Economic Development Specialist, two Senior Administrative Assistants and a Secretary. These eight individuals work together to administer the City's federal entitlement programs in compliance with all applicable federal regulations, relying on their combined eighty years of experience.

This small staff could not possibly implement the goals and objectives of the 2010-2014 Consolidated Plan on its own, however. The staff of the City's Urban & Economic Development Department coordinate throughout the year with a variety of public and private agencies and organizations to implement various portions of the Plan. The consultation/coordination process begins with the development of the Consolidated Plan and/or Annual Action Plans. This consultation/coordination continues after the submission of the Plan to HUD by the City as many of the agencies and organizations receive funding from the City's entitlement programs.

The various agencies and organizations with which the City consults stretches across a broad spectrum of disciplines, as required in developing Consolidated Plans and Annual Action Plans. For issues related to housing, the staff of the City's Department of Urban & Economic Development (U&ED) consults with the Utica Municipal Housing Authority (UMHA), the City's own Section 8 office and Code Enforcement Offices, the local Continuum of Care (CoC), our various Community Housing Development Organizations (CHDO's), Oneida County Departments including Planning, Health and Social Services, the Utica Rescue Mission, Johnson Park Center, Abraham House and YWCA. For economic development issues, the U&ED staff consult with regional economic development organizations including: Mohawk Valley Economic Development Growth Enterprises (EDGE) and NYS Empire State Development Corporation, as well as the City's own Industrial Development Agency and Industrial Development Corporation. For infrastructure-related issues, U&ED staff rely largely

on the City's Engineering and Public Works Departments, NYS Department of Transportation and the two-county Metropolitan Planning Organization known as HOCTS (Herkimer-Oneida Counties Transportation Study). For youth and senior activities, there are a whole host of largely not-for-profit organizations available for consultation and coordination, including but not limited to: North and West Utica Senior Centers, the Parkway Senior Center, Oneida County's Office for the Aging, the local Youth Empowerment Project, Boys & Girls Club of Utica. For social services provided to low- and moderate-income persons and families, U&ED staff consult with such local agencies and organizations as: Mohawk Valley Community Action, Family Nurturing Center, the Resource Center for Independent Living, Cornell Cooperative Extension, the Central Association for the Blind and Visually Impaired and others.

As noted, consultation and coordination with these various agencies and organization begins months in advance of the submission of the Consolidated Plan and/or Annual Action Plan. While the City generally submits its Plans in February each year, letters are sent to these various agencies and organizations annually in early November inviting each to any of the numerous public meetings held by U&ED staff to elicit public opinion on what should be considered in the upcoming Plan. Additionally, if unable to attend the public meetings, the agencies and organizations are invited to consider their own funding needs for their respective programs and to submit an application for funding if such program fulfills a critical need within the City and meets the regulations of the respective entitlement program. Many of the agencies and organizations choose to attend the public meetings and address U&ED staff, encouraging support for their particular mission and occasionally requesting funds for the program.

Beginning with the 2011-2012, the second year of this 2010-2014 Consolidated Plan, U&ED staff will have an additional resource on which to rely in the development of the needs assessment, annual review of applications for funding, ranking of the applications and providing recommendations on possible funding allocations to U&ED staff, the Mayor and the Common Council. Earlier this year (2010), the City of Utica Common Council established a CDBG Citizens Advisory Committee by resolution. The committee is comprised of nine individuals, each one nominated to the committee by each member of the Common Council. The committee has begun to meet monthly to develop the background and education necessary to make insightful and beneficial input into the annual planning process.

As U&ED staff begin to draft the Consolidated Plan and/or the Annual Action Plan, they will often reach out to staff of any one of these groups for input into the Plan. Following submission of the Plan, the same staff people of these various agencies and organizations provide critical information on progress made toward reaching the outcome measurements committed to by the City within the respective Plan.

Citizen Participation (91.200 (b))

1. Provide a summary of the citizen participation process.
2. Provide a summary of citizen comments or views on the plan.
3. Provide a summary of efforts made to broaden public participation in the development of the consolidated plan, including outreach to minorities and non-

English speaking persons, as well as persons with disabilities.

4. Provide a written explanation of comments not accepted and the reasons why these comments were not accepted.

*Please note that Citizen Comments and Responses may be included as additional files within the CPMP Tool.

3-5 Year Strategic Plan Citizen Participation response:

As with the development of all of the City's Consolidated Plans and Annual Action Plans, the City followed its own Citizen Participation Plan (CPP), attached to this 2010-2014 Consolidated Plan as a separate document. The plan details the method by which the City of Utica will conduct its public outreach process in developing and preparing its HUD-required planning documents. Additionally, the CPP details the manner by which substantial amendments will be addressed.

In November 2009, U&ED staff held a series of public meetings several months prior to the development and submission of the 2010-2014 Consolidated Plan and 2010-2011 Annual Action Plan. These meetings were held on November 17th at 6:30 PM at the Thomas M. Lindsey Memorial Public Safety Center in Cornhill and on November 25th at 7 PM at Holy Trinity School in West Utica. As evidenced by the attached sign-in sheets and meeting notes, both meetings were extremely well-attended by both the general public and the agencies and organization with which the City regularly consults alike.

Moderated by staff of Utica's Neighborhood Housing Service HomeOwnership Center, all hearings opened with Department of Urban & Economic Development staff describing the anticipated amount of entitlement funds that the City expected to receive for its 2010-2014 Consolidated Plan term, followed by a detailing of the types of projects for which entitlement funds were utilized in the current program year. As the City U&ED staff were drafting not only the 2010-2011 Annual Action Plan, but also the 2010-2014 Consolidated Plan, staff asked for input into priority goals and objectives for the coming five years as well as specific input into the activities necessary to be undertaken in the next immediate program year.

In addition to these two public meetings specifically for the development of the 2010-2014 Consolidated Plan, the City also held a number of neighborhood meetings during this timeframe in conjunction with its comprehensive plan process. Those meetings were held on September 14th at the St. Mary of Mount Carmel School in East Utica and on October 13th at Our Lady of Lourdes School in South Utica. While not solely focused on the use of federal entitlement funds, the meetings were beneficial to U&ED staff as they provided insight from the general public into the general condition of neighborhoods and the City and a broader understanding of the universal needs of the populace.

These meetings were advertised through the local media outlets, including newspaper, television and radio. Additionally, a letter was sent directly to roughly thirty (30) local agencies and organizations alerting them to the schedule of meetings and encouraging them to attend and provide input into the Plan. The meetings also provide a forum by which these agencies and organizations present their requests for funding from the City.

Neighborhood residents urged for more funding to be made available in the form of grants to homeowners. Many speakers commented that grant funding should be made available to allow low-income and fixed-income homeowners make needed repairs and maintenance on their homes facades and basic systems. They felt that assistance in the form of loans, even low-interest loans, would not address the need. Significant concern was expressed for increasing public safety, particularly given the ever expanding baby boomer population. Residents also advocated for funding for economic development, acknowledging that increased employment opportunities for local residents would help stem the decrease in population, increase homeownership and pride in the neighborhoods and help to stabilize their neighborhoods.

As required by the City's Citizen Participation Plan and by HUD regulations, the City published a legal advertisement in the official local newspaper alerting the public to the availability of the 2010-2014 Consolidated Plan and 2010-2011 Annual Action Plan for review and comment. The legal notice was published on July 9th and asked that the public submit comments up until August 8th at which time the City intended to submit the Plan to HUD. The advertisement noted the hours and locations where the Plan could be reviewed.

As of the date of the submission of this Plan, U&ED staff has not received any comments regarding the 2010-2014 Consolidated Plan.

Given the significant immigrant and refugee population within the City of Utica, U&ED staff is particularly attuned to the need to reach out to such populations in an effort to broaden participation by such groups. The advertisements sent out alerting the public to the schedule of public meetings and run by the newspaper, television and radio all include a statement that interpretation of various languages will be made available, if interest in such is made known prior to the meeting. Additionally, the direct mailings to various local agencies and organizations includes the Mohawk Valley Latino Association and the Mohawk Valley Resource Center for Refugees. To reach those individuals with mobility issues, the City sends a direct mailing to the Resource Center for Independent Living and the Central Association for the Blind and Visually Impaired.

Institutional Structure (91.215 (i))

1. Explain the institutional structure through which the jurisdiction will carry out its consolidated plan, including private industry, non-profit organizations, and public institutions.
2. Assess the strengths and gaps in the delivery system.
3. Assess the strengths and gaps in the delivery system for public housing, including a description of the organizational relationship between the jurisdiction and the public housing agency, including the appointing authority for the commissioners or board of housing agency, relationship regarding hiring, contracting and procurement; provision of services funded by the jurisdiction; review by the jurisdiction of proposed capital improvements as well as proposed development, demolition or disposition of public housing developments.

3-5 Year Strategic Plan Institutional Structure response:

Historically, the City of Utica and U&ED staff, in particular, have relied heavily on subrecipients and its Community Housing Development Organizations (CHDO's) to assist significantly into the implementation of the City's Consolidated Plan and each respective Annual Action Plan. As staff costs such as salaries and fringe benefits continue to increase in the face of historically declining entitlement funding, the HUD-mandated 20% cap on administration costs has prevented the City of Utica from increasing its ranks within U&ED to be able to administer large programs on its own. This structure is expected to continue, at least through the term covered by the 2010-2014 Consolidated Plan.

For City-sponsored activities such as building demolition, street reconstruction or parks improvements, U&ED staff will continue to rely on existing City departments including Engineering, Public Works and Parks & Recreation.

For all other activities, however, the City must rely on agencies and organizations separate and distinct from the City of Utica government.

It has become increasingly clear that the City cannot continue to operate its own economic development program at a level commensurate with the size of the City of Utica. To that end, the City has been in discussion with Mohawk Valley EDGE, the regional economic development agency, about consolidating efforts, thereby regionalizing economic development under a single entity. While no decisions have been made, such a move is anticipated within the timeframe of the 2010-2014 Consolidated Plan.

For housing activities, the City of Utica will continue to rely heavily on its CHDO's. Rebuild Mohawk Valley, a subsidiary of Utica Municipal Housing Authority, has been at the forefront of new housing construction since the sunset of its HOPE VI grant; this is anticipated to continue for the foreseeable future. Johnson Park Center (also known as JCTOD) has also been a valuable resource for housing of certain populations within the Cornhill neighborhood and that is also expected to continue. Utica Neighborhood Housing Service involvement is primarily limited to homebuyer education and administering the neighborhood watch program in most of the City's neighborhoods. Another of the City's CHDO's, GroWest, was particularly active in previous years, particularly in the rehabilitation of existing housing units. Within the past year, however, the City of Utica (in consultation with HUD) initiated an investigation of GroWest, previous employers and contractors for various improprieties and possible future legal action. As a result of the investigation, the current Board of Directors for GroWest now support the dissolution of GroWest.

The loss of GroWest as a CHDO within the City of Utica will create a void that is not easily replaced. It will be incumbent upon the City of Utica to work with the local housing community with an eye toward the possible creation of another more responsible CHDO. It is clear that the housing needs within the City of Utica are too great to entrust the solution to but a few organizations with limited capacity in new construction and housing rehabilitation.

For services and activities targeted as seniors, youths and low- and moderate-income individuals and families, the City will continue to rely on its network of established not-for-profits and social services agencies and organizations. In a time of increased need and diminishing resources, however, the City of Utica is particularly concerned with overlap of services among competing agencies and organizations.

Within the past several months, a unique partnership has developed between Cornell University and the City of Utica which will contribute greatly to the institutional structure which bears responsibility for the implementation of the 2010-2014 Consolidated Plan, its attendant Annual Action Plans and the City's new comprehensive plan. This partnership has resulted in a Rust to Green (R2G) Initiative which is run by Cornell University and is funded by a federal Hatch grant.

Under the R2G Initiative, Cornell University identified the cities of Binghamton and Utica as pilot areas. The R2G Initiative is a 3- to 5-year action-research project that seeks environmentally-appropriate methods of advancing overarching community goals and objectives that will result in a rebranding of the Rust Belt cities as contemporary and resilient cities of the future. Despite the wealth of academic institutions in and around the City of Utica, the R2G Initiative marks the first significant time that the City has partnered with a college or university to advance its goals. Through the permanent presence that Cornell University and the City of Utica are currently working toward establishing in the downtown, the academicians involved in the R2G Initiative will be able to institute its participatory action research (PAR), thereby involving itself in the community as we collectively address the needs of the City of Utica.

There are a number of inherent advantages and disadvantages with this system of program delivery. The most obvious advantage is that the City is able to maintain a relatively small staff within its Urban & Economic Development Department, thereby staying within its HUD-mandated 20% administrative cap. The disadvantage to such a heavy reliance on outside agencies and organizations funded with public monies is the enormous emphasis that U&ED staff must then place on monitoring of the agencies and organizations.

This Plan has already noted two situations with which the City of Utica is dealing with that present another disadvantage. The delivery system currently employed by the City of Utica requires that an appropriate number of competent, outside agencies and organizations be ready and willing to plan, design and implement the services most needed by those being served. In the case of GroWest, too few CHDO's within the City of Utica exist that can undertake housing rehabilitation such that the loss of just one agency leaves a significant void in the ability of the City to provide that service on the scale necessary within the City. In the provision of youth, senior and social services, there is such a wealth of agencies and organizations providing such services that overlap of services leading to a waste of resources is a real possibility. A focus of the City of Utica during the 2010-2014 Consolidated Plan term must be on right-sizing the number of outside agencies and organizations in order to maximize the effectiveness of its increasingly diminished resources.

The delivery system for public housing is much different from that of the City's entitlement programs including CDBG, HOME and ESG. The Utica Municipal Housing Authority (UMHA) is a largely autonomous Authority with very little oversight directly by the City of Utica. The UMHA has its own staff (not City employees) and is run by an Executive Director who serves at the pleasure of the Authority Board, a majority of the members of which are appointed by the Mayor of the City of Utica. Additionally, while the City of Utica Common Council must by law approve contracts between the Authority and any of its employees unions, Common Council members have no input into the negotiations of such contracts. Furthermore, any capital improvements undertaken by UMHA (including new construction, rehabilitation and

demolition) do not require review by the City of Utica so long as such improvements are progressed in compliance with the City's zoning ordinance and local building code.

Despite the limited direct oversight of UMHA by the City of Utica mandated by law, there is significant coordination between the two entities. While the UMHA has access to its own governmental funding, UMHA often relies on the City of Utica and its HOME monies, in particular, to provide a local match to a number of its housing projects. In those projects in which the City of Utica provides some amount of funding or in-kind services (such as street reconstruction, tree planting, sidewalk replacement or sewer main rehabilitation/replacement, etc.), the City generally has substantial input into the design and planning of the project.

Monitoring (91.230)

1. Describe the standards and procedures the jurisdiction will use to monitor its housing and community development projects and ensure long-term compliance with program requirements and comprehensive planning requirements.

3-5 Year Strategic Plan Monitoring response:

Staff of the City of Utica's Department of Urban & Economic Development (U&ED) will be responsible for the monitoring of the various outside agencies and organizations that receive entitlement funding through CDBG, HOME and/or ESG monies. The primary purpose of the City's monitoring program is to ensure that all subrecipients of federal funding progress their respective projects in furtherance of the applicable Consolidated Plan and Annual Action Plan in compliance with all applicable federal and local regulations. U&ED staff view monitoring of subrecipients as an ongoing process requiring regular communication with all subrecipients, rather than an exercise conducted at certain points throughout each program year.

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. Upon execution of the agreement, the subrecipient receives an original signed and executed agreement and a second original is maintained by U&ED staff within a project file.

Subrecipients are required to submit regular reports summarizing their progress toward accomplishing their goals. Through the subrecipient agreement, subrecipients are required to submit quarterly progress reports as well as a final, year-end progress report. 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 U&ED staff, the reports are helpful in the preparation of the Consolidated Annual Performance Evaluation Report (CAPER).

In addition to these progress reports, U&ED staff frequently utilize random on-site inspections of subrecipients. Chosen at random each year, U&ED staff personally

visit various subrecipients throughout the course of each program year. Utilizing checklists developed for each activity/project, U&ED staff 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 added to incorporated into each U&ED project file.

Priority Needs Analysis and Strategies (91.215 (a))

1. Describe the basis for assigning the priority given to each category of priority needs.
2. Identify any obstacles to meeting underserved needs.

3-5 Year Strategic Plan Priority Needs Analysis and Strategies response:

The basis for assigning a particular priority level (Low, Medium or High) to the various priority needs within the various categories (including housing, homeless, community development and non-homeless special needs) is primarily the comments received by the general public as a result of the City's Citizen Participation Plan and the consultations with the various housing, homeless and human service agencies and organizations.

In public meeting after public meeting, the general public calls for funding in two major areas - the retention/creation of new jobs and paving of streets. For this reason alone, infrastructure activities and economic development activities have all been ranked as high priority projects. Additionally, clearance and demolition along with the clean-up of contaminated sites have also both been ranked as high priority projects given their potential to spur economic development projects that will create job opportunities for local residents.

In addition to infrastructure and street improvements, many residents also plead for activities that will support their own efforts at stabilizing the neighborhoods in which they live and own property. For this reason, enhanced code enforcement and housing activities that support owner-occupied dwelling units also received a high ranking.

The activities ranked as high priorities signify activities that will likely be funded every year of the 2010-2014 Consolidated Plan term. While activities ranked with either a medium or low priority are no less important, they may not receive funding every one of the five years.

The single largest obstacle to meeting underserved needs is lack of funding. While the City of Utica's CDBG, HOME and ESG entitlement is considerable, it is not nearly enough to resolve every housing, homeless and community development need within the City of Utica. As such, the City of Utica will strive to leverage its federal entitlement funds to secure other sources of funding with which to address all identified priority needs.

Lead-based Paint (91.215 (g))

1. Estimate the number of housing units that contain lead-based paint hazards, as defined in section 1004 of the Residential Lead-Based Paint Hazard Reduction Act of 1992, and are occupied by extremely low-income, low-income, and moderate-income families.
2. Outline actions proposed or being taken to evaluate and reduce lead-based paint hazards and describe how lead based paint hazards will be integrated into housing policies and programs.

3-5 Year Strategic Plan Lead-based Paint response:

Based on the incidence rate of poisoned children, percent of housing built before 1940, and the proportion of very low and low income residents, the City of Utica is a high-risk community for childhood lead poisoning. Utica is also one of the state's poorest cities. Twenty one percent of the residents have incomes below the poverty level. Utica's poverty rate exceeds that of cities of comparable population: Schenectady (14.7%), Albany (18.3%), Niagara Falls (18.6%) and Binghamton (20%). Within the City, more than one in three young people (35.1%) lives in a family where the annual income is below the federal poverty level. Of the 8,065 students currently enrolled in Utica schools, 54.7% are eligible for free or reduced lunch. According to the 2000 Census, 57.9% of Utica households were low and moderate income as defined by the Department of Housing and Urban Development. Furthermore, over one-third (35.4%) of all households within the City had incomes less than 50% of the area's median.

Elevated blood lead levels, resulting in lead poisoning, continue to be a major, but preventable public health problem for children under six years of age in the City of Utica. According to the County Health Department, between 1993 and 2003, there were 4882 children in the City of Utica (25% of the total children tested) with blood levels greater than 10 ug/dL. One hundred thirty two had levels between 15 and 20 ug/dL. Ninety five children tested at 20 ug/dL or higher.

Forty one percent of the children in our area are living at or below the poverty level and are at risk for lead poisoning. A total of 6,731 children under the age of 6 reside in the City of Utica. Of this number, 1,702 live in Cornhill, an area of extreme poverty and substandard housing conditions. Between January 1, 1994 and December 31, 1998, 53 children in Oneida County reached or exceeded the threshold for childhood lead poisoning and required emergency hospitalization and painful and expensive treatment. LEAdTRAC, the New York State Department of Health surveillance system, indicates a cluster of leaded homes and affected children within Utica zip codes 13501 and 13502.

Of all metropolitan areas in New York State, the City of Utica has one of the oldest housing stocks. Most of the housing units consist of wood frame construction and require continual improvements to maintain their integrity. The City of Utica has a disproportionate number of aged and often deteriorated housing units. Sixty four percent of the City's dwelling units were built prior to 1940. Seventy four percent of the housing was constructed before 1950. Eighty four percent of all dwelling units

were built prior to 1960. Of all the housing units in the City, ninety seven percent were built before 1978.

Most of the buildings in Utica's central city neighborhoods are owned by landlords who lack economic incentives to repair their units because tenants cannot afford the increased rent costs to finance the cost of repairs. Between 1980 and 1996, owner-occupied housing units within these neighborhoods decreased by 15%, while renter-occupied units increased by 30%. More than 65% of the housing market is renter-occupied. Tax assessments are high, while the market value of properties has significantly declined in the target areas. Additionally, many homeowners, particularly the elderly and those on fixed incomes, lack the resources to rehabilitate and maintain their properties.

To address this overwhelming need within the City of Utica, the City made several unsuccessful attempts to secure federal Lead Hazard Control funding. Despite astounding statistics that fully supported approval of such funding, the grants were consistently given to larger metropolitan areas around New York State. Only because of the adoption of the American Recovery & Reinvestment Act (ARRA) was the City finally successful in securing just over \$2 million to begin addressing the lead-based paint issue that plagues so many homes throughout the City of Utica.

Under the grant, the City of Utica has joined with the Oneida County Department of Health to commit to the remediation of lead-based paint in no less than 150 housing units. To date, the City is slightly behind where it had projected being at this point in the year. Of principal concern is the fact that the City began the grant partnered with GroWest whose future has already been detailed earlier in this Plan. With the expected dissolution of GroWest in the coming weeks or months, U&ED staff has been forced to find an alternate agency or organization with the necessary capacity in construction contracting and the background and expertise with federal program guidelines that will take on the duties previously performed by GroWest. The fact that this potentially protracted process is taking place during prime construction season is a cause for concern when considering the rigid milestones that must be met under ARRA regulations. On the upside, prior to the investigation of GroWest, sufficient intake occurred, resulting in enough applications for funding to exhaust all available grant funding, if construction were advanced rapidly.

Addressing lead-based paint will be a priority within any housing program in the City of Utica for the foreseeable future, particularly all rehabilitation projects. All potential housing rehabilitation projects, whether advanced by the City of Utica, its CHDO's or another agency or organization, will be evaluated for the manner by which the project addresses the potential for lead-based paint. Those projects that maximize non-entitlement funds to address lead-based paint will receive priority consideration for technical and financial assistance from the City of Utica.

HOUSING

Housing Needs (91.205)

*Please also refer to the Housing Needs Table in the Needs.xls workbook

1. Describe the estimated housing needs projected for the next five year period for the following categories of persons: extremely low-income, low-income, moderate-income, and middle-income families, renters and owners, elderly persons, persons with disabilities, including persons with HIV/AIDS and their families, single persons, large families, public housing residents, families on the public housing and section 8 tenant-based waiting list, and discuss specific housing problems, including: cost-burden, severe cost- burden, substandard housing, and overcrowding (especially large families).
2. To the extent that any racial or ethnic group has a disproportionately greater need for any income category in comparison to the needs of that category as a whole, the jurisdiction must complete an assessment of that specific need. For this purpose, disproportionately greater need exists when the percentage of persons in a category of need who are members of a particular racial or ethnic group is at least ten percentage points higher than the percentage of persons in the category as a whole.

3-5 Year Strategic Plan Housing Needs response:

The single most pressing housing issue within the City of Utica is the prevalence of substandard housing which translates into the greatest housing need being funding for rehabilitation of both rental and owner units. With the obvious exception of upper-income households, the need for rehabilitation funding transcends all income subcategories and special needs subpopulations.

While the recession has affected the nation over the past eighteen to twenty-four months, the Utica-Rome region is historically one of the last regions in the country to experience 'boom' economic periods and among the first to feel the pains of 'bust' economies. In fact, the region has collectively been slow to convert its economy from its reliance on manufacturing since the 1940's and, as a result, has suffered significant population loss and minimal meaningful economic growth since the 1940's. These economic realities translate to many homeowners and residential property owners putting off regular maintenance on their homes and properties. Low housing costs for ownership and low rents have discouraged potential homeowners and landlords from investing private funds in housing rehabilitation projects.

Another pressing housing need in the City of Utica that affects very low- and low-income households in particular is the anticipated loss of one of the City's more ambitious CHDO's, relative to housing rehabilitation. Given the substantial need for rehabilitation as opposed to new construction or homebuyer education, the loss of GroWest will be particularly noticeable.

Finally, among the top three most pressing housing needs in the City of Utica is addressing lead-based paint in homes citywide, particularly in those dwellings where

young children and infants reside. The impacts to the healthy development of infants affected by lead-based paint are well documented. The majority of homes in the City of Utica were constructed prior to 1939 meaning that the vast majority of those homes are impacted by lead-based paint. The City continues to find ways to address this issue.

Priority Housing Needs (91.215 (b))

1. Identify the priority housing needs in accordance with the categories specified in the Housing Needs Table (formerly Table 2A). These categories correspond with special tabulations of U.S. census data provided by HUD for the preparation of the Consolidated Plan.
2. Provide an analysis of how the characteristics of the housing market and the severity of housing problems and needs of each category of residents provided the basis for determining the relative priority of each priority housing need category.

Note: Family and income types may be grouped in the case of closely related categories of residents where the analysis would apply to more than one family or income type.

3. Describe the basis for assigning the priority given to each category of priority needs.
4. Identify any obstacles to meeting underserved needs.

3-5 Year Strategic Plan Priority Housing Needs response:

Though it should be fairly obvious, the most glaring priority housing need exhibited by the data within the Housing Needs Table that is included in this 2010-2014 Consolidated Plan is for very low-income households (those making between 30 and 50% of median family income). Across the board, regardless of whether the household is comprised of renters or owners, whether they are large families, small families or elderly, the needs are significantly higher than the same subcategories of households at higher incomes. This observation stands to reason as households with limited income resources have greater difficulty in adequately financing their many needs, including housing.

Among the very low-income households, one of the more alarming observations is that 100% of the households that are large families and own their homes suffer from some type of housing issue (overcrowding and/or without complete kitchen or bathroom facilities) and have a cost burden greater than 30%. While the raw number of households in question is relatively low (34), the fact that every single one of those households suffers from a cost burden and a detrimental housing issue is alarming.

To describe the method by which priority rankings were established also addresses the single biggest obstacle to meeting underserved needs. In short, the City of Utica simply does not receive sufficient funding through HOME or any other federal program to rehabilitate or construct sufficient housing to address the needs exhibited within the Housing Needs table. With a HOME entitlement of less than \$1 million, the City of Utica is simply unable to develop a sufficient supply of housing units that will satisfy the documented needs. In the alternative, the City must partner with

other housing development agencies and organizations and offer its funding as a match against the other funding that can be leveraged by said agencies and organizations. To that extent, it is difficult to project goals for the coming year, much less the next five years.

Housing Market Analysis (91.210)

*Please also refer to the Housing Market Analysis Table in the Needs.xls workbook

1. Based on information available to the jurisdiction, describe the significant characteristics of the housing market in terms of supply, demand, condition, and the cost of housing; the housing stock available to serve persons with disabilities; and to serve persons with HIV/AIDS and their families.
2. Describe the number and targeting (income level and type of household served) of units currently assisted by local, state, or federally funded programs, and an assessment of whether any such units are expected to be lost from the assisted housing inventory for any reason, (i.e. expiration of Section 8 contracts).
3. Indicate how the characteristics of the housing market will influence the use of funds made available for rental assistance, production of new units, rehabilitation of old units, or acquisition of existing units. Please note, the goal of affordable housing is not met by beds in nursing homes.

3-5 Year Strategic Plan Housing Market Analysis responses:

As noted in other sections of this Consolidated Plan, the popular opinion among City residents is that housing within the City, whether it be rental or ownership units, are very affordable as compared to other parts of the country. Additionally, many housing options are available throughout all of the City's neighborhoods.

With the softening of the real estate market tied to the national recession, the supply of housing in virtually all housing type categories remains sufficient relative to the demand. Unlike other parts of the nation where foreclosure rates have increased significantly in recent years, the Utica-Rome region has been largely immune to this trend.

Perhaps the most significant characteristic of the City of Utica's housing market is the condition of the housing. The long-term loss of population combined with income levels that have remained stagnant and the considerable number of low- and moderate-income persons and families have resulted in dwelling units that have suffered from minimal maintenance over the past several decades. For many structures throughout the City, the rehabilitation needs far outweigh the return anticipated from either rents or resale. This reality has discouraged the 'flipping' of properties whereby rehabilitated structures/units are resold for considerable profit, a trend more common in other parts of the nation. The minimal return from rents has also discouraged potential landlords from investing their own funds in the rehabilitation of rental units. The greatest need, therefore, in the City of Utica's housing market is a significant increase in the amount of public subsidy made available for rehabilitation of both rental and owner units.

For persons with mobility issues, much of the City's existing housing stock presents a challenge. The vast majority of homes in the City of Utica were constructed prior to

1939. As such, the architecture style of much of the City's housing stock is multi-level with stairs. By and large, the ranch-style homes likely to be preferred by those with mobility and accessibility issues are located in the more upscale and upper-income neighborhoods of North and South Utica. While the supply of housing for physically handicapped persons has not been raised as an issue publicly, the Utica Municipal Housing Authority, through their subsidiary Rebuild Mohawk Valley, has undertaken a number of projects in recent years that include new construction of accessible structures utilizing HUD's Section 811 grants.

Rebuild Mohawk Valley, Inc. (RMV), the nonprofit affiliate corporation of the UMHA, was awarded a capital advance grant in the amount of \$1,063,200 from the United States Department of Housing and Urban Development (HUD) Section 811 program to construct six independent living units of subsidized rental housing for persons with disabilities in the City of Utica. HUD also awarded RMV a rental assistance contract for the Project to help defray operating costs. The project will be targeted to very low income and low-income families who have an adult member who has a disability. It is expected that households will be headed by a disabled parent who will have one or more children. The Section 811 Project is part of the Utica Municipal Housing Authority (UMHA) and RMV's HOPE VI initiative. The City of Utica anticipates supporting this project with future HOME dollars during the term of the 2010-2014 Consolidated Plan.

The Section 811 Project will involve the construction of six new three-bedroom single family homes at scattered site locations in the Cornhill neighborhood (HOPE VI Redevelopment Area) of the City of Utica. The project will be targeted to families comprised of at least one person 18 years or older with physical disabilities, developmental disabilities, chronic mental illness, or any combination of the three. Section 811 housing development units will be leased to low income disabled heads of households who are parents and have children residing with them.

Based on the Housing Market Analysis table included in this Plan, housing for individuals with HIV/AIDS and their families is not a priority housing issue in the City of Utica. This finding is supported by the fact that such a need has never been expressed in public or in confidence with City staff. The Housing Market Analysis identifies a need for five dwelling units in the City of Utica and confirms that those needs are fulfilled within the current housing market.

At this time, there is no policy in place that will result in the loss of units from the assisted housing inventory.

The overwhelming need for increased public subsidy of rehabilitation funding for both rental and owner units drives the projected use of housing monies over the course of the next five years of the City of Utica's 2010-2014 Consolidated Plan. Appropriate funding of housing rehabilitation will result in the creation of more affordable housing units and will help to stabilize numerous neighborhoods that are currently considered at risk.

Specific Housing Objectives (91.215 (b))

1. Describe the priorities and specific objectives the jurisdiction hopes to achieve over a specified time period.

2. Describe how Federal, State, and local public and private sector resources that are reasonably expected to be available will be used to address identified needs for the period covered by the strategic plan.

3-5 Year Strategic Plan Specific Housing Objectives response:

The planning processes that have resulted in the development of both the City of Utica 2010-2014 Consolidated Plan and the City's new comprehensive plan have highlighted the fact that housing remains a priority within the City of Utica. To that end, the City of Utica has developed a number of overarching priorities and specific objectives to begin addressing key housing needs.

The first priority is to develop housing in a variety of styles and types within close proximity to the City's core, downtown Utica. The draft comprehensive plan for the City of Utica recognizes that the trend nationally is moving back toward downtowns, for both businesses and residents. Aside from subsidized high-rise residential units and Utica Municipal Housing Authority properties, downtown Utica is bereft of any other housing options for people considering moving to and living in downtown Utica. Yet it is residents, living directly in downtown and on the periphery, that will create an energized downtown that extends beyond the normal Monday through Friday, 8 AM to 5 PM working hours. As such, it is only through the development of appropriate housing that the City's highest priority economic development needs will be realized. As a priority, development of housing in and around (within three city blocks) the City's downtown core includes a number of specific objectives:

The first objective in furtherance of developing housing in and around the City's core is the establishment of a rental rehabilitation program that addresses both interior and exterior conditions. As an urban community that serves as the seat of Oneida County, the housing units in the City of Utica are split almost evenly between owner-occupied and rental. Significant public subsidy is necessary to begin to improve housing conditions in rental units throughout the City, though focus during the 2010-2014 Consolidated Plan term will be on the downtown and the three blocks immediately surrounding the downtown. Too often, such programs are permitted in eligible areas throughout the entire City, improvements are made to a single property within a large block and the impact of the investment is lost. This objective focuses the investment in and around the City's core.

The second objective in furtherance of developing housing in and around the City's core is the introduction of a residential façade program, again targeted at properties within the downtown and within 3 blocks of the downtown. First introduced by the Utica Municipal Housing Authority as part of its HOPE VI effort several years ago in the Cornhill neighborhood, this objective holds tremendous potential for the revitalization of entire neighborhoods. While many homeowners focus on the important building systems such as plumbing, electrical, and heating, tight budgets and limited income often means that cosmetic improvements go unaddressed. A residential façade program would provide assistance to eligible homeowners that want to improve the 'curb appeal' of their home. Targeted to the City's core and the surrounding neighborhoods, a critical mass of properties will be improved resulting in noticeable improvement to entire neighborhoods.

The third objective is the continued use of federal entitlement funds by the City of Utica to leverage private investment in the development of new, high density residential projects in and around the downtown core. In the past, the City of Utica

has partnered successfully with other housing development organizations like Housing Visions and Utica Municipal Housing, utilizing HOME monies to leverage other funding streams such as Low Income Housing Tax Credits and the Historic Preservation Tax Credits to develop new housing for low- and moderate-income individuals and families. Given the limited amount of HOME funding available to the City of Utica, the City will continue to leverage these funds and provide these funds as a match for other financing sources on projects that benefit the City and its low- and moderate-income residents.

The second priority housing need in the City of Utica is development of a new Community Housing Development Organization (CHDO). With the imminent dissolution of GroWest, one of the City's more ambitious CHDO's in terms of housing rehabilitation, a vacuum has been created that must be filled if the City is to remain active in the rehabilitation of housing for low- and moderate-income residents. Three CHDO's remain involved in housing activities in the City of Utica, though their background and/or their geographical area of interest does not lend itself to housing rehabilitation citywide in the same way as GroWest.

The third priority is the continued support for lead abatement throughout the City of Utica. As noted in other sections of this Plan, the City tried unsuccessfully for a number of years to secure a grant through HUD for the abatement of lead-based paint. The City's wealth of homes constructed prior to 1940 has resulted in a significant issue for many of the City's residents, but its low- and moderate-income residents are particularly impacted. While lead-based paint in homes is a significant housing issue, its ability to impair childhood development makes it a significant health issue as well, one that cannot be ignored given the depth of the problem in the City of Utica. If not for the American Recovery & Reinvestment Act, the City of Utica would still be chasing State and Federal funds to begin to address the problem. As the City moves into implementation of the 2010-2014 Consolidated Plan, the City must continue to leverage its resources to secure additional State and Federal funding beyond the current grant.

The fourth priority housing need in the City of Utica is assisting property owners in making their homes energy efficient. Given the fact that the vast majority of homes in the City of Utica were constructed prior to 1940, the construction methods and building materials utilized in the construction do not meet today's standards for energy efficiency. As such, the already limited resources of the City's low- and moderate-income residents are being wasted. Yet insufficient personal resources are available to assist these residents in addressing energy efficiency within their homes. In this age of environmental sustainability, the City must support its residents in the 'greening' of their homes through development of a program that would address such issues as weatherization (siding, insulation, new windows), stormwater mitigation (provision of rain barrels, separation of storm leaders from sanitary sewer lines, etc.), energy efficient building systems/appliances (heating and cooling systems, hot water heaters, etc.) and universal design, such as handicap-accessible ramps that are context sensitive.

A marked increase in the percentage of homes occupied by their owner is a fifth priority housing need. The City's draft comprehensive plan calls for an ambitious increase in the average of owner-occupied residential dwellings throughout the City from its current level of roughly 50% to 70% over the life of the plan. The comprehensive plan suggests several objectives in furtherance of this priority, including the promotion of first-time home-buyer education. A second objective

identified within the comprehensive plan is aggressive marketing of tax incentives available to encourage housing rehabilitation and new construction. The third objective identified within the City's draft comprehensive plan is the requirement that all tax foreclosed properties purchased from the City's Urban Renewal Agency shall include the requirement that they be owner-occupied.

The sixth priority housing need in the City of Utica is to address the findings of the Utica-Rome Analysis of Impediments to Fair Housing. Completed in 2008, the Analysis found that the most significant impediment within the Utica-Rome region was a general lack of understanding about fair housing, the groups affected and the actions that would constitute a violation of fair housing laws. The City is currently working on a contractual arrangement with the Fair Housing Council of Central New York that would result in a comprehensive public education campaign, thereby addressing the most significant impediment identified within the study.

Needs of Public Housing (91.210 (b))

In cooperation with the public housing agency or agencies located within its boundaries, describe the needs of public housing, including the number of public housing units in the jurisdiction, the physical condition of such units, the restoration and revitalization needs of public housing projects within the jurisdiction, and other factors, including the number of families on public housing and tenant-based waiting lists and results from the Section 504 needs assessment of public housing projects located within its boundaries (i.e. assessment of needs of tenants and applicants on waiting list for accessible units as required by 24 CFR 8.25). The public housing agency and jurisdiction can use the optional Priority Public Housing Needs Table (formerly Table 4) of the Consolidated Plan to identify priority public housing needs to assist in this process.

3-5 Year Strategic Plan Needs of Public Housing response:

According to the plan submitted by the Utica Municipal Housing Authority (UMHA), the UMHA will continue to administer its current portfolio of programs which provide safe, decent, and sanitary housing for low to extreme low income families. Additionally, UMHA will work in partnership with other agencies such as City of Utica Department of Urban and Economic Development to further our mission. The UMHA will seek opportunities that will increase the housing choices of low to very low income families by applying for funds when available. Low to extremely low-income families (includes elderly and disabled singles) need affordable, safe, and decent housing. UMHA will maintain its housing stock to ensure that all its housing meets the needs of low to extremely low-income families. The UMHA will administer their programs to ensure that vacancy rates are low and a swift turnover of units that are vacated to ensure applicants on the waiting list are served as soon as possible. Furthermore, UMHA will also closely monitor utilization of the HCVP to ensure that when funds are available they can promptly serve wait list applicants. Finally, UMHA will continue to review and update policies as needed to 1) comply with HUD requirements, 2) create policies that are fair and beneficial to the participants and 3) provide benefit to the program overall.

The UMHA consults with the City of Utica regarding housing needs and housing development strategies on an on-going basis to ensure that our programs are

coordinated with the local HUD Consolidated Plan for the use of CDBG and HOME funding.

Strategies to be utilized by the UMHA to meet the housing needs of all eligible populations including current tenants and those on the waiting list include the following:

Need: Shortage of affordable housing for all eligible populations

Strategy 1. Maximize the number of affordable units available to UMHA within its current resources by:

- Reduce turnover time for vacated public housing units and reduce time to renovate public housing units
- Develop public housing units through mixed finance development
- Employ effective maintenance and management policies to minimize the number of vacant Public Housing units
- Maintaining or increase Housing Choice Voucher lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintaining or increasing Housing Choice Voucher lease-up rates by effectively screening Housing Choice Voucher applicants to increase owner acceptance of program;
- Undertake measures to ensure access to affordable housing among assisted families, regardless of unit size required
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Participate in the Continuum of Care process in the development of permanent housing for homeless individuals and families
- Collaborate with the City of Utica Codes and Fire Department to ensure compliance of private landlords with local housing standards and building codes
- Preserve the current inventory of private affordable housing in the City of Utica by continuing to provide financial assistance to owner-occupants of single family homes to rehabilitate their buildings
- Federalize the 819 Hamilton Street Apartments into public housing.

Strategy 2: Increase the number of affordable housing units by:

- Leverage affordable housing resources in the community through the creation of mixed - finance housing
- Pursue housing resources other than public housing or Housing Choice Voucher tenant-based assistance;

Need: Specific Family Types: Families at or below 30% of median and at or below 50% of median

Strategy 3: Target available assistance to families:

- Adopt rent policies to support and encourage work
- Promote the earned income disallowance in the calculation of monthly rental amounts and rental subsidy.

Need: Specific Family Types: Families with Disabilities

Strategy 4: Target available assistance to Families with Disabilities:

- Affirmatively market to local non-profit agencies that assist families with disabilities
- Continue implementation and modifications of the Section 504/ADA.

Need: Specific Family Types: Races or ethnicities with disproportionate housing needs.

Strategy 5: Increase awareness of UMHA resources among families of races and ethnicities with disproportionate needs:

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- Counseling Housing Choice clients as to location of units outside of areas of poverty or minority concentration and assist them to locate those units.

Public Housing Strategy (91.210)

1. Describe the public housing agency's strategy to serve the needs of extremely low-income, low-income, and moderate-income families residing in the jurisdiction served by the public housing agency (including families on the public housing and section 8 tenant-based waiting list), the public housing agency's strategy for addressing the revitalization and restoration needs of public housing projects within the jurisdiction and improving the management and operation of such public housing, and the public housing agency's strategy for improving the living environment of extremely low-income, low-income, and moderate families residing in public housing.
2. Describe the manner in which the plan of the jurisdiction will help address the needs of public housing and activities it will undertake to encourage public housing residents to become more involved in management and participate in homeownership. (NAHA Sec. 105 (b)(11) and (91.215 (k))
3. If the public housing agency is designated as "troubled" by HUD or otherwise is performing poorly, the jurisdiction shall describe the manner in which it will provide financial or other assistance in improving its operations to remove such designation. (NAHA Sec. 105 (g))

3-5 Year Strategic Plan Public Housing Strategy response:

Following is the narrative of the Utica Municipal Housing Authority's Five Year Plan 2010-2014 submitted to HUD earlier this year:

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

PHA Goal: Expand the supply of assisted housing

Objectives:

1. Maintain high occupancy levels and reduce public housing vacancy rates.
 - A. Maintain an occupancy rate of at least 95% for public housing units
 - B. Continue to market public housing units through outreach to community agencies

- C. Increase turnover time to prepare units for re-occupancy
 - D. Increase the visibility of housing authority programs and services through public service announcements, presentations to local groups, and paid advertising.
2. Leverage private or other public funds to create additional housing opportunities.
- A. Continue to apply for funding opportunities that may become available to create additional housing opportunities
 - B. Develop mixed finance rental units to utilize unused ACC subsidies
 - C. Create homeownership housing units for first-time, low-income homebuyers;
 - D. Make application to continue housing authority programs to rehabilitate owner-occupied homes in revitalization areas
 - E. Apply for HOPE VI Choice Neighborhood Initiative, Neighborhood Stabilization, and other community development programs to create new housing opportunities as well as promote neighborhood revitalization
 - F. Develop transitional and permanent housing for special needs populations, disabled, children with lead poisoning, and transitional housing for fire victims
 - G. Develop loft housing designed as live and work space for low and moderate income artists
 - H. Create mixed income/use residential developments with commercial space
 - I. Apply for additional Housing Choice vouchers as well as Mainstream, Family Unification, and Homeless Veteran vouchers
 - J. Access other leveraged sources of funding such as bond and Low Income Housing Tax Credit Financing
 - K. Complete the development of the Cornhill Section 811 project consisting of six rental units targeted to the disabled
 - L. Develop rental or homeownership units through the Replacement Housing Factor Program FY 2008-2013
 - M. Work in partnership with the Housing Authority nonprofit affiliate Community Housing Development Organization – Rebuild Mohawk Valley, Inc. – to create affordable housing opportunities
 - N. Coordinate housing authority unit inspection programs with the City of Utica Fire and Codes Dept. to improve the quality of housing and increase compliance of private landlords with housing standards
 - O. Federalize the state-aided housing development known as the 819 Hamilton Street Apartments in order to receive additional operating and capital subsidies
 - P. Develop investor-owned rental rehabilitation program to create new affordable housing units.

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PHA Goal: Improve the quality of assisted housing

Objectives:

- 1. Enhance public housing management [Maintain existing high Public Housing Assessment System (PHAS) Score .]
 - A. Continue to apply research based theory directed toward leadership, management and administrative practice in our self evaluations and action research with institutions of higher learning
 - B. Continue with the Quality Assurance Review (QAR) program of residents’ files
 - C. Continue the applicability of the Enterprise Income Verification (EIV)
 - D. Continue to implement systems and procedures to effectuate asset management

- E. Improve voucher management and maintain high Section 8 Management Assessment Program (SEMAP) Score
 - F. Increase customer satisfaction through quality control methods
 - G. Provide improved communication with management and referral services to residents
 - H. Concentrate on efforts to improve specific management functions:
 - Deliver timely and quality maintenance services to public housing residents;
 - Maintain 95% or greater of rent collections for the public housing program;
 - Implement preventive maintenance efforts;
 - Reorganize staffing configurations in connection with Asset Management Projects (AMP) if necessary;
 - Continue to implement project-based accounting and performance budgeting;
 - Upgrade work order system to better track maintenance functions;
 - Adopt green procurement and maintenance approaches;
 - Provide opportunities for staff training opportunities and professional development;
 - Continue to revise public housing authority policy and procedures such as the ACOP, Housing Choice Voucher Administrative Plan, and lease;
 - Apply to participate in the Moving to Work Demonstration Program (The program offers public housing authorities the opportunity to design and test innovative, locally-designed housing and self-sufficiency strategies for low-income families by allowing exemptions from existing public housing and tenant-based Housing Choice Voucher rules and permitting PHAs to combine operating, capital, and tenant-based assistance funds into a single agency-wide funding source, as approved by HUD.);
 - Developing new preferences for public housing admission including but not limited to children with lead poisoning and the homeless;
 - Promulgate self-managing work teams (SWMT) and employee empowerment;
 - Continue to address reorganization strategies to more effectively comply with Asset Management requirements as it relates to Civil Service and contractual agreements;
 - Develop entrepreneurial prospects to supplement revenue sources;
 - Continue to sustain fiscal responsibility without compromising the mission of the UMHA.
2. Renovate or modernize public housing units;
- Implement FY 2010-14 Capital Fund 5-Year Action Plan;
 - Continue the installation of energy improvements in public housing;
 - Complete American Recovery & Reinvestment Act (ARRA) formula and competitive grant modernization programs;
 - Conduct resident energy conservation programs to reduce consumption;
 - Complete the federalization of the 819 Hamilton Street development into public housing/ACC units.
3. Provide replacement public housing:
- Complete the development of the Replacement Housing Factor Program FY 2008-2013;
 - Leverage funding for the Replacement Housing Factor (RHF) project from private and public financing sources.
4. Use technology to improve the delivery of core business functions.
- Continue to upgrade the agency website to provide information to applicants, vendors, and the public;

- Automate central intake functions to improve customer satisfaction;
- Begin implementation of e-procurement system;
- Implement technology upgrades to ensure accurate and timely reporting, communication and public relations.

* * * *

PHA Goal: Increase assisted housing choices

Objectives:

1. Conduct outreach efforts to potential voucher landlords.
2. Continue the implementation of homeownership programs for public housing residents as well as voucher holders.

* * * *

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

PHA Goal: Continue implementing public housing security improvements

Objectives:

1. Seek funding to enhance the effectiveness of public housing security department;
2. Continue to sponsor crime and fire prevention training for residents.

* * * *

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

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

Objectives:

1. Increase the number of employed persons in assisted families and expand access of residents to education and job training programs:
 - A. Monitor contractors and subcontractors for compliance with Section 3 training and employment goals, and provide public housing residents with information about Section 3 business and training employment opportunities
 - B. Provide or identify supportive services to improve assistance recipients' employability
 - C. Seek new partnerships with both public and private entities to enhance social and economic services to residents in assisted housing
 - D. Maintain the Family Self- Sufficiency program in Public Housing
 - E. Continue to implement the disallowance of increase in annual earned income, in accordance with the regulation
 - F. Develop on-site educational, job training, career development, and literacy programs for public housing residents
 - G. Create a construction skills training center in association with local schools, Mohawk Valley Community College and other institutions of higher education
 - H. Continue to implement community service requirements to facilitate resident involvement in job training and educational programs

- I. Provide entrepreneurship and small business development training programs for residents
2. Identify supportive services to increase independence for the elderly or families with disabilities
 - A. Continue to provide service coordination to elderly and disabled households
 - B. Implement health education programs.
3. Maintain and expand housing authority resident service programs
 - A. Develop new program initiatives to assist public housing refugee and immigrant communities
 - B. Continue to implement youth development, after-school, and summer youth development and enrichment programs
 - C. Maintain the operation of the Neighborhood Network Centers and increase broadband technology access for public housing residents
 - D. Incorporate supportive services into property management functions
 - E. Conduct resident orientation and training sessions on housekeeping and support services linkages
 - F. Continue to build partnerships with local social service agencies such as the Oneida County Department of Social Services to coordinate services
 - G. Seek funding from public and private sources to maintain and enhance resident service programs
 - H. Continue to develop and maintain resident council and leadership development training programs
 - I. Use Rebuild Mohawk Valley, Inc. and other nonprofit affiliate corporations of the housing authority to apply for and implement agency resident service programs
 - J. Seek funding to continue the operation of youth corps training programs
 - K. Develop meaningful activities that recognize citizenship, service, leadership, scholarship and character
 - L. Create new programs and services to assist refugee and immigrant public housing resident groups to better access community services.

* * * *

HUD Strategic Goal: Ensure Equal Opportunity in Housing

Objectives:

1. Continue the implementation of Section 504, ADA, and the Fair Housing Act
2. Continue to effectuate domestic violence policy and procedures
3. Continue disseminating housing information to the community at-large through promotional materials, presentations, training seminars and counseling sessions on fair housing issues.

Barriers to Affordable Housing (91.210 (e) and 91.215 (f))

1. Explain whether the cost of housing or the incentives to develop, maintain, or improve affordable housing are affected by public policies, particularly those of the local jurisdiction. Such policies include tax policy affecting land and other property, land use controls, zoning ordinances, building codes, fees and charges, growth limits, and policies that affect the return on residential investment.

2. Describe the strategy to remove or ameliorate negative effects of public policies that serve as barriers to affordable housing, except that, if a State requires a unit of general local government to submit a regulatory barrier assessment that is substantially equivalent to the information required under this part, as determined by HUD, the unit of general local government may submit that assessment to HUD and it shall be considered to have complied with this requirement.

3-5 Year Strategic Plan Barriers to Affordable Housing response:

As staff of the City's Department of Urban & Economic Development (U&ED) conducted public and neighborhood meetings in recent months for the both the development of the City's 2010-2014 Consolidated Plan/2010-2011 Annual Action Plan and the City's new comprehensive plan, one of the City's assets that was mentioned frequently was the affordability of the area, particularly in the area of affordable homeownership.

Owner-occupied homes in virtually every segment of the housing market sell for substantially lower than most every other comparable sized community across the country. It was this trend, in fact, that resulted in the Utica-Rome region listing in the Top 10 most affordable (among regions with populations under 500,000) within the past few years by the National Association of Home Builders.

It is also this affordability that indirectly creates the City of Utica's most significant barrier to the creation of more affordable housing. Much of the housing stock in the City of Utica is old and beginning to show its age. According to 2000 Census data, a mere 1,260 units of housing were constructed between 1980 and 2000 in the City of Utica. Over half of the City's entire stock of housing, 53.4%, was constructed prior to 1940 and is now over 70 years old.

While most of the housing stock could be salvaged, the cost of rehabilitation for most private property owners is cost-prohibitive given the resale price in the future. Rental properties face a similarly bleak future. With rents relatively low and affordable for most of the population, profit for the landlord is minimal and not worth the investment necessary to rehabilitate many of the structures in Utica. For this single reason, a multitude of potential housing units that could be created and added to the supply of affordable housing units remains vacant.

This gap between the cost to rehabilitate and future profitability, whether through rents or resale, points to the overwhelming need for public financing of housing rehabilitation. The fact that the City cannot underwrite all required rehabilitation projects with its limited HOME funding (~\$850,000 annually) further points to the need for the City to work cooperatively with its CHDO's and the Utica Municipal Housing Authority on projects that benefit the City of Utica by adding to the stock of affordable housing units. In light of the likely demise of GroWest, one of the City's more productive CHDO's, this reliance on CHDO's points to the importance of developing another CHDO designed to take on rehabilitation projects of significant size and scope.

HOMELESS

Homeless Needs (91.205 (b) and 91.215 (c))

*Please also refer to the Homeless Needs Table in the Needs.xls workbook

Homeless Needs— The jurisdiction must provide a concise summary of the nature and extent of homelessness in the jurisdiction, (including rural homelessness where applicable), addressing separately the need for facilities and services for homeless persons and homeless families with children, both sheltered and unsheltered, and homeless subpopulations, in accordance with Table 1A. The summary must include the characteristics and needs of low-income individuals and children, (especially extremely low-income) who are currently housed but are at imminent risk of either residing in shelters or becoming unsheltered. In addition, to the extent information is available, the plan must include a description of the nature and extent of homelessness by racial and ethnic group. A quantitative analysis is not required. 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.

3-5 Year Strategic Plan Homeless Needs response:

Given the relative small size of the City of Utica Department of Urban & Economic Development (U&ED), the City and U&ED staff rely heavily on the local Continuum of Care (CoC), the Mohawk Valley Housing and Homeless Assistance Coalition, for guidance in addressing the needs of homeless persons and families within the City's boundaries. As such, the needs expressed within this 2010-2014 City of Utica Consolidated Plan closely mirror the needs expressed to HUD by the CoC.

In addition to defining and quantifying the needs of the homeless population, the CoC has been very active in quantifying and characterizing the nature and extent of homelessness in the City of Utica. The figures provided herein are based on a census of homeless persons and families. The census, required by HUD every two years, was last conducted by the CoC in 2009; according to the CoC, the next census will be conducted on January 26, 2011. As HUD requires that such count occur during the last ten (10) days in January, the CoC conducted its one day, point-in-time survey on January 28, 2009.

According to the results submitted to HUD, the survey highlighted two key items of interest. First, there were no unsheltered youths counted in the survey. While there were a total of seventeen (17) people counted that were unsheltered on the day that the survey was conducted, none of these individuals were under the age of 18. The second key item of interest noted in the one day, point-in-time survey that was conducted by the CoC is that there is a tremendous demand for and utilization of transitional housing. While there were individuals and households, including 23 households with dependent children, housed in emergency shelters, this population paled in comparison to the number of both persons and households housed in transitional housing units.

In raw numbers, the total number of households residing in emergency shelters accounted for just over 26% of the total amount of homeless counted, while households in transitional housing accounted for 67%. When counting individuals instead of households, the proportions are not much different. The total number of individuals residing in emergency shelters amounted to 29% of the total while the

total number of individuals residing in transitional housing amounted to just under 66%.

In its report to HUD, the CoC likewise noted the utilization of transitional housing, stating that there had been a 'substantial decrease in the number of homeless persons and families' and a 'substantial increase in the number of persons and families in transitional housing' since the last one day, point-in-time survey was conducted in late 2007. The report also noted that the number of unsheltered persons had largely remained unchanged (16 in 2007 as compared to 17 in 2009).

The CoC attributed this increase in utilization of transitional housing to two factors, including: improved utilization of transitional housing resources and increased efforts to move homeless persons deemed employable quickly from emergency shelters to transitional housing. The increase in transitional housing persons and families was also seen as a by-product of the establishment and expansion of two new transitional housing programs and improved bed utilization at a transitional housing program for homeless victims of domestic violence and their children.

Overall, there was a noted increase in homelessness which is attributed to several factors, including: an increase in the number of homeless veterans returning from the wars in Iraq and Afghanistan, foreclosure of properties that were previously leased or rented by low-income persons or families, a backlog of cases at local mental health clinics and inadequate resources for those persons and families looking for affordable housing. One such example of inadequate resources is the current five-year waiting list within the City of Utica for Section 8 vouchers. The CoC also noted that state of the national, state and local economy has also pushed many persons and families to the point of homelessness, a point many had previously considered unimaginable. The CoC noted that 43% of the homeless persons surveyed in January 2009 reported that this was the first time that they were homeless as an adult.

The CoC one day, point-in-time survey found that the majority of unsheltered persons are adults with both a mental health and substance abuse disability that are not interested in the emergency shelter programs and refuse assistance for their mental health or substance abuse disabilities. In August 2009, the CoC successfully opened its first permanent housing program that utilizes the 'Housing First' model. Under this model, persons with mental health and substance abuse disabilities are accepted even though they are unwilling to accept treatment for their disabilities at the time of program entry. As of result of this new program, the CoC fully expects the number of unsheltered persons to decrease by the next point-in-time survey.

In July 2009, the City of Utica was awarded \$2,038,081 of American Recovery & Reinvestment Act funding through the Homelessness Prevention & Rapid Rehousing Program (HPRP). As a result of that funding, the City of Utica worked in partnership with the local CoC and its member agencies to request proposals for funding programs that would further the tenets of the HPRP and ARRA programs. After thoughtful consideration of the proposals received, the City awarded funds to eight (8) subrecipients. Through these programs, services are being offered to citizens of the City of Utica that are at imminent risk of becoming homeless, were it not for the assistance with HPRP monies; such services range from legal aid to debt counseling to housing assistance. There is little doubt that without the funding through HPRP there would be a significant increase in the number of families and individuals

requiring homeless assistance, overwhelming the local inventory of emergency shelters and transitional housing units.

Priority Homeless Needs

1. Using the results of the Continuum of Care planning process, identify the jurisdiction's homeless and homeless prevention priorities specified in Table 1A, the Homeless and Special Needs Populations Chart. The description of the jurisdiction's choice of priority needs and allocation priorities must be based on reliable data meeting HUD standards and should reflect the required consultation with homeless assistance providers, homeless persons, and other concerned citizens regarding the needs of homeless families with children and individuals. The jurisdiction must provide an analysis of how the needs of each category of residents provided the basis for determining the relative priority of each priority homeless need category. A separate brief narrative should be directed to addressing gaps in services and housing for the sheltered and unsheltered chronic homeless.
2. A community should give a high priority to chronically homeless persons, where the jurisdiction identifies sheltered and unsheltered chronic homeless persons in its Homeless Needs Table - Homeless Populations and Subpopulations.

3-5 Year Strategic Plan Priority Homeless Needs response:

As noted, the City of Utica is served by a very active and responsive Continuum of Care (CoC), the Mohawk Valley Housing and Homeless Assistance Coalition, of which the City of Utica is a participating member. As a result of the City's membership in the CoC, the goals and objectives developed by the CoC relative to homelessness in the City of Utica and reported to HUD have been incorporated wholesale into this 2010-2014 Consolidated Plan for the City of Utica.

As detailed in the Homeless Needs Table, of the three housing types (emergency shelters, transitional housing and permanent supportive housing) for the sheltered homeless, the greatest need within the City of Utica is for permanent supportive housing for both individuals and families. Of the unserved gap for homeless individuals, the total number of beds needed in permanent supportive housing amounted to 56% of the total unserved gap. This figure increases to nearly 70% for homeless families.

The CoC feels that this gap can be filled gradually over the next three (3) years. In fact, a marked increase in the number of beds within permanent supportive housing units is anticipated by the end of the current construction season. There are several projects already under construction within the City of Utica. In light of the increase in homelessness comprised largely of returning veterans from Iraq and Afghanistan, the focus on the permanent supportive housing units currently under construction is to serve the veteran population. Seventeen units of permanent supportive housing are currently under construction for veterans, which will serve both individuals and veterans with families.

Additionally, within the City's Cornhill neighborhood, Johnson Park Center is constructing eight (8) units of permanent supportive housing for chronically homeless women.

Combined, these twenty-five (25) units represent the first year goals identified within the Homeless Needs table, where the bulk of the total underserved needs are to be filled. As with these units, the City of Utica will continue to work closely with the CoC and its other member agencies and organizations and support future projects that address the need for permanent supportive housing.

Beyond physical construction, a total of thirty-five (35) Veterans Affairs Supportive Housing (VASH) vouchers were recently awarded to a three-county area including Oneida County. The VASH vouchers combine rental assistance through Section 8 housing vouchers for homeless veterans with case management and clinical services provided by Veterans Affairs. Of the thirty-five, it is anticipated that roughly fifteen (15) will be utilized within the City of Utica.

Of equal priority, based on the Homeless Needs table, is the development of emergency shelter beds for individuals; there is no unmet need for such beds for families. Much like the bulk of the permanent supportive housing units, the units necessary to fill the gap are currently under construction. In fact, the entire current unmet need of 12 units for individuals are currently under construction by the Utica Rescue Mission and should be completed within this current construction season.

Of lower priority, though no less important to addressing the needs of the homeless population within the City of Utica, is the provision of transitional housing units. According to the Homeless Needs table, there is currently an unmet need or gap of twenty-four (24) units for individuals and fifteen (15) for families. Together with the City of Utica and its other member agencies and organizations, the CoC is currently working on two projects that have the potential to add between ten and twelve units of transitional housing for families. There is also a project in the pipeline that will potentially add six (6) units of transitional housing for the homeless male youth population. These projects are moving forward, though construction is not expected on these units in the near term.

The CoC and the City of Utica, in particular, are concerned with the needs of the chronically homeless. While the number of chronically homeless within the City of Utica are relatively low in comparison to the overall homeless population (5% based on the one day, point-in-time survey conducted in January 2009), their existence points to the need for supportive services in addition to the mere provision of beds or housing units. Within its plan, the CoC has identified a number of steps that can be taken in the next twelve months and over the next ten years to address the issue of chronic homelessness. Within the next immediate twelve months, the CoC has committed to the following steps: realigning existing supportive service programs (Crisis Services, case management and mental health clinical services) to support the first all-chronic homeless project that opened in August 2009, providing 8 beds to chronically homeless women with a mental health disability; providing financial and logistical support to the project sponsor's recently submitted application to New York State to add an additional 8 beds to the aforementioned project in 2010; carving out an additional 10 dedicated chronic beds from our Shelter Plus Care Program; developing 11 new permanent housing beds for homeless veterans.

Within the next ten years, the CoC committed to undertaking the following steps to ending chronic homelessness: continue education advocacy efforts based on recent and future analyses of HMIS shelter data in conjunction with mental health inpatient and jail data to highlight the extent of chronic homelessness and the high costs associated with not having sufficient Housing First permanent housing beds for chronically homeless persons; allocate more Shelter Plus Care units/beds to chronically homeless persons each year; develop the first transitional housing program within the CoC for homeless veterans; add 35 new units of permanent (VASH) housing for homeless veterans and dedicate 5 of the units to chronically homeless veterans.

Homeless Inventory (91.210 (c))

The jurisdiction shall provide a concise summary of the existing facilities and services (including a brief inventory) that assist homeless persons and families with children and subpopulations identified in Table 1A. These include outreach and assessment, emergency shelters and services, transitional housing, permanent supportive housing, access to permanent housing, and activities to prevent low-income individuals and families with children (especially extremely low-income) from becoming homeless. The jurisdiction can use the optional Continuum of Care Housing Activity Chart and Service Activity Chart to meet this requirement.

3-5 Year Strategic Plan Homeless Inventory response:

As required by HUD, the local Continuum of Care (CoC) maintains an inventory database of facilities and services that assist homeless persons, families with children and subpopulations. The information provide below is taken from the CoC's Housing Inventory Chart.

In the category of emergency shelters, there are four (4) such facilities within the CoC that lie within the City of Utica boundaries. These include:

Emmaus House, serves single females, has 18 total beds, 8 of which are available for households with children

JCTOD Outreach, serves families, has 18 total beds, 13 of which are available for households with children

Rescue Mission of Utica, serves single males, has 18 total beds

Hall House, serves single females that are victims of domestic abuse, has 16 total beds

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In the category of transitional housing, there are a total of 15 locations throughout the City of Utica, including:

Halfway house on Genesee Street operated by Catholic Charities, serves single females, has 16 total beds

Community residence on Plant Street operated by Catholic Charities, serves single males, has 8 total beds

Community residence on Churchill Avenue operated by Catholic Charities, serves single males, has 10 total beds

Community residence on Albany Street operated by Catholic Charities, serves single males, has 8 total beds

Community residence on Oneida Street operated by Catholic Charities, serves single females, has 8 total beds

Community residence on Genesee Street operated by Catholic Charities, serves single females, has 8 total beds

Community residence on Noyes Street operated by Catholic Charities, serves single males, has 10 total beds

Substance abuse halfway house on Rutger Street operated by Catholic Charities, serves single males, has 16 total beds

Evelyn's House operated by the Family Nurturing Center, serves young females, has 7 beds of which 5 are available for mothers with children

River Street residence, serves single males has 11 total beds

Single room occupancy units on Rutger Street operated by the Rescue Mission of Utica, serves single males, has 6 total beds

Residential stabilization units operated by the Rescue Mission of Utica, serves single males, has 5 total beds

Enriched living center operated by the Rescue Mission of Utica, serves single males and females, has 52 total beds

New Horizons program operated by the YWCA, serves young females, has 14 beds of which 3 are available for mothers with children

Willow Commons program operated by the YWCA, serves single females and households with children, has 45 beds all of which are available for mothers with children

* * * *

In the category of permanent supportive housing, there are a total of eight (8) programs throughout the City of Utica, including:

Seven (7) locations are operated by CNY Services, which serves all populations and maintains a total of 305 beds, of which 168 are available for families with children

The other location is operated by Upstate Cerebral Palsy, which serves all populations and maintains a total of 24 beds, of which 12 are available for families with children.

* * * *

To prevent homelessness, the primary effort within the City of Utica for the past year and for the next two years has been the implementation of Homelessness Prevention & Rapid Rehousing Program (HPRP) funding made available through the American Recovery & Reinvestment Act. The City of Utica worked closely with the CoC and its members agencies and organizations to identify eight subrecipients that could offer a range of services. The subrecipients, amount allocated to each and the services provided by each subrecipient include:

Johnson Park Center (\$149,117) to provide supportive services and limited financial services

Central New York Labor Agency (\$22,772) to provide outreach and referral to the HPRP program

Mohawk Valley Community Action Agency (\$553,113) to provide short-term rental assistance

YWCA (\$145,876) to provide short-term rental assistance

Legal Aid Society of Mid-York (\$102,623) to provide legal services and counseling

Catholic Charities (\$85,321) to provide short-term rental assistance

Consumer Credit Counseling (\$26,987) to provide financial counseling

Social Science Associates (\$64,814) to fulfill HMIS reporting requirements and assist the City of Utica with HPRP reporting requirements

This funding has proven to be critical to preventing scores of individuals and families from becoming homeless, particularly with the downturn in the economy at the national, state and local level. Without this critical funding, individuals and families that had previously never considered the possibility of being homeless would have been faced with just such a likelihood. Emergency shelters would have likely been overwhelmed and overcrowded.

The City of Utica will continue to implement these funds through at least the balance of 2010 and into 2011. While the agreement for HPRP funds with HUD allows for these funds to continue to be spent into the first half of 2012, it is likely that the HPRP funds will be exhausted within the 2011 calendar year. At these funds reach their conclusion, the City of Utica anticipates that the HEARTH Act will provide for a continuation of many of the services initiated under the HPRP.

Homeless Strategic Plan (91.215 (c))

1. Homelessness— Describe the jurisdiction's strategy for developing a system to address homelessness and the priority needs of homeless persons and families (including the subpopulations identified in the needs section). The jurisdiction's strategy must consider the housing and supportive services needed in each stage of the process which includes preventing homelessness, outreach/assessment,

emergency shelters and services, transitional housing, and helping homeless persons (especially any persons that are chronically homeless) make the transition to permanent housing and independent living. The jurisdiction must also describe its strategy for helping extremely low- and low-income individuals and families who are at imminent risk of becoming homeless.

2. Chronic homelessness—Describe the jurisdiction’s strategy for eliminating chronic homelessness by 2012. This should include the strategy for helping homeless persons make the transition to permanent housing and independent living. This strategy should, to the maximum extent feasible, be coordinated with the strategy presented Exhibit 1 of the Continuum of Care (CoC) application and any other strategy or plan to eliminate chronic homelessness. Also describe, in a narrative, relationships and efforts to coordinate the Conplan, CoC, and any other strategy or plan to address chronic homelessness.
3. Homelessness Prevention—Describe the jurisdiction’s strategy to help prevent homelessness for individuals and families with children who are at imminent risk of becoming homeless.
4. Institutional Structure—Briefly describe the institutional structure, including private industry, non-profit organizations, and public institutions, through which the jurisdiction will carry out its homelessness strategy.
5. Discharge Coordination Policy—Every jurisdiction receiving McKinney-Vento Homeless Assistance Act Emergency Shelter Grant (ESG), Supportive Housing, Shelter Plus Care, or Section 8 SRO Program funds must develop and implement a Discharge Coordination Policy, to the maximum extent practicable. Such a policy should include “policies and protocols for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent such discharge from immediately resulting in homelessness for such persons.” The jurisdiction should describe its planned activities to implement a cohesive, community-wide Discharge Coordination Policy, and how the community will move toward such a policy.

3-5 Year Homeless Strategic Plan response:

In addressing the needs of the homeless and those at risk of becoming homeless, as well as to create a plan that addresses those needs, the City of Utica has worked closely with the local Continuum of Care (CoC), the Mohawk Valley Housing and Homeless Assistance Coalition. As such, the City of Utica's Homeless Strategic Plan for its 2010-2014 Consolidated Plan closely mirrors that of the Continuum of Care which has previously been submitted to HUD.

Chronic homelessness is an issue that continues to vex HUD, the local CoC and the City of Utica. Indicative of the local concern about chronic homelessness, Utica Mayor David R. Roefaro and Oneida County Executive joined together to become signatories to America's Road Home, a federal initiative intended to be a statement of principles and actions developed that will end chronic homelessness within the next ten years.

Within the plan submitted to HUD, the CoC identified a number of steps that can be taken in the next twelve months and over the next ten years to address the issue of chronic homelessness. Within the next immediate twelve months, the CoC has

committed to the following steps: realigning existing supportive service programs (Crisis Services, case management and mental health clinical services) to support the first all-chronic homeless project that opened in August 2009, providing 8 beds to chronically homeless women with a mental health disability; providing financial and logistical support to the project sponsor's recently submitted application to New York State to add an additional 8 beds to the aforementioned project in 2010; carving out an additional 10 dedicated chronic beds from our Shelter Plus Care Program; developing 11 new permanent housing beds for homeless veterans.

Within the next ten years, the CoC committed to undertaking the following steps to ending chronic homelessness: continue education advocacy efforts based on recent and future analyses of HMIS shelter data in conjunction with mental health inpatient and jail data to highlight the extent of chronic homelessness and the high costs associated with not having sufficient Housing First permanent housing beds for chronically homeless persons; allocate more Shelter Plus Care units/beds to chronically homeless persons each year; develop the first transitional housing program within the CoC for homeless veterans; add 35 new units of permanent (VASH) housing for homeless veterans and dedicate 5 of the units to chronically homeless veterans.

The City of Utica supports the CoC in these efforts through their incorporation into the City of Utica 2010-2014 Consolidated Plan. To the extent practicable, the City of Utica will support these initiatives through the City's entitlement funds.

The CoC's plan submitted to HUD also calls for efforts to increase the percentage of homeless persons residing in permanent housing for longer than six (6) months. To accomplish this goal, the CoC plan calls for a number of steps to be taken in both the short-term and the long-term. Short-term steps, to be taken over the next twelve (12) months include: intensifying case management efforts to make more frequent contact with homeless persons who are in their first three months of a permanent housing placement; better utilization of the CoC's Mobile Crisis Assessment Team (MCAT) to respond quickly and effectively to client crises at the client's home, thereby reconfiguring this service that was primarily hospital-based; hold more permanent supportive housing units open for those who relapse and/or have a mental health crisis that results in short-term hospitalization, inpatient rehabilitation or a jail stay of less than 90 days. It is anticipated that these steps will increase the percentage of homeless persons residing in permanent housing longer than six months by 3 percentage points in the next year.

Long-term efforts by the CoC and its members agencies and organization, including the City of Utica, to increase the percentage of homeless persons residing in permanent housing for periods longer than six (6) months include: continuing efforts to make more frequent contact with over 250 Shelter Plus Care clients (funding was recently obtained from the State of New York to add three (3) additional S+C case managers, though workloads still remain too high); reducing the backlog at licensed mental health clinics (expedient access to mental health services and medications has been a primary factor interfering with the short-term success rate of the CoC's permanent supportive housing programs); using newly available resources from the State of New York to expand chemical dependency services in the CoC; strengthening the job preparation and job placement programs within the CoC that are targeted toward permanent housing residents. It is anticipated that these steps will increase the percentage of homeless persons residing in permanent housing

longer than six months by 7 percentage points over the span of the 2010-2014 Consolidated Plan.

Another goal of the CoC plan submitted by HUD is to increase the percentage of homeless persons moving from transitional housing to permanent housing. Short-term steps to increase this percentage include: implementing a newly-crafted agreement with the Oneida County Department of Social Services to allow persons in recovery in non-HUD funded transitional housing to begin employment training or paid employment prior to exiting their transitional housing (this is a substantial shift from past practice); working with Mohawk Valley Community College to institutionalize a recently established partnership that creates a bridge from supportive housing to vocational and/or academic training; using HPRP resources to facilitate permanent housing placement for those leaving transitional housing; working with transitional housing providers this year to help them set up escrow accounts for those clients funded by the Oneida County Department of Social Services shelter subsidy payments so they will have more motivation to complete the program and resources to obtain permanent housing once they leave. These steps are anticipated to increase the percentage of homeless persons moving from transitional housing to permanent housing by three (3) percentage points in the next twelve months.

The long-range steps by the CoC and its members agencies and organization, including the City of Utica, to increase the percentage of homeless persons moving from transitional housing to permanent housing are centered on the concept that the services provided to such persons must be all-inclusive in the way that they address the client's needs. The long-term plan calls for expanding educational and vocational training and employment components for those in the CoC's transitional housing programs. Oneida County Workforce Development and the Workforce Investment Board have partnered with the CoC's supportive housing providers to provide specialized training and employment opportunities. The CoC also will strive to accelerate the development of affordable permanent housing units. Successful implementation of these steps are anticipated to increase the percentage of homeless persons moving from transitional housing to permanent housing by six (6) percentage points in the five years.

Another goal of the CoC plan submitted by HUD is to increase the percentage of persons employed at program exit to at least 20 percent. While the CoC has reached and exceeded this goal, their plan calls for continued efforts to increase their success. This effort will include maintaining and expanding the coordinated employment services system (long-term partnership with Oneida County Workforce Development and the Workforce Investment Board in the Jobs and Hope Program) to serve those who are homeless. Efforts toward expansion of that coordinated system will focus in the next few years on building private-sector employers into the partnership to provide entry-level employment to homeless persons in the construction trades, building maintenance and human services.

Finally, the CoC plan submitted to HUD outlines steps intended to decrease the number of homeless households with children. The short-term step calls for the full implementation of available HPRP funds. HPRP recipients have prioritized families with dependent children who are homeless or at imminent risk of homelessness. The long-term strategy calls for fully integrating homeless prevention programs including ESG, FEMA, HPRP and programs funded by the State of New York. Toward that end, the CoC has developed a Homeless Prevention subcommittee that has been meeting

for the past year to work toward this goal. Additionally, the CoC and its member agencies and organization will work toward the creation of more affordable and energy efficient housing units to reduce homelessness for families with dependent children.

The local Continuum of Care, the Mohawk Valley Housing and Homeless Assistance Coalition has been and continues to be a leader in the efforts to address the myriad of issues related to homelessness. The City of Utica has been and will continue to be a member agency in the Continuum of Care, along with roughly thirty-eight (38) other member agencies or individuals; roughly 63% of the members represent the private sector (non-profit providers, homeless or formerly homeless persons, advocates and consumer interests). It is through this institutional structure that the City of Utica and the other member agencies and individuals of the CoC will carry out the homelessness strategy.

The CoC is guided by a formal decision-making body, the Steering Committee, which is comprised of nineteen members agencies or individuals. Steering Committee members are nominated by CoC members and elected every two years. Steering Committee members must be active participants in the CoC and be familiar with local homeless needs. The CoC structure also includes three (3) subcommittees, including: 10-Year Chronic Homeless Plan Committee, Homeless Prevention Committee and Homeless Veterans Task Group.

Discharge Coordination Policy

The local community already has in place policies and protocols to ensure that persons are not routinely discharged into homelessness. These policies and protocols are divided into the various disciplines from which people may be discharged. The following policies and protocols are the same policies and protocols followed by the CoC and previously submitted to HUD by the Continuum of Care.

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

For patients being discharged from hospital care, there are two hospitals in the City of Utica which are both JCAHO (Joint Commission on the Accreditation of Health Care Organizations) accredited and in compliance with accreditation standards. All employ social work staff to prevent homeless discharge. Also, a team of Crisis

Service workers funded through the Oneida County Department of Mental Health works directly and actively with hospital emergency room staff to assess and address the needs of individuals in mental health or substance abuse crisis and prevent homelessness upon discharge from the emergency room. These hospitals participate actively in the New York State Adult Single Point of Access and Accountability (ASPOAA) process (discussed in detail below for mental health patients) to ensure that those with a serious (Axis I diagnosis) mental health disability have housing upon discharge. Implementation date for ASPOAA coordination of hospital discharge was June 2004.

For mental health patients, NYS Adult Single Point of Access and Accountability (ASPOAA) and section 29.15(f), (g) and (h) of Mental Hygiene Law, hospitals with inpatient psychiatric units are required to prepare a written service plan for all patients about to be discharged. The treatment plan must include supervision, medication, and aftercare services. The Oneida County Department of Mental Health monitors concerns and issues related to discharge planning in two ways. The first is that the County monitors discharge planning through the weekly ASPOAA process that is coordinated by the Oneida County Department of Mental Health (per New York State regulations). When individuals are nearing discharge, service needs and resources are discussed at ASPOAA and a discharge plan with a housing component is formulated for high-risk, high-need situations (e.g., homelessness). The second way that the Department of Mental Health reviews and monitors discharge concerns is through annual license reviews of clinical and case management programs done in collaboration with the New York State Office of Mental Health. ASPOAA policies have been in place since 2004.

Emergency Shelter Grants (ESG)

(States only) Describe the process for awarding grants to State recipients, and a description of how the allocation will be made available to units of local government.

3-5 Year Strategic Plan ESG response:

NOT APPLICABLE

COMMUNITY DEVELOPMENT

Community Development (91.215 (e))

*Please also refer to the Community Development Table in the Needs.xls workbook

1. Identify the jurisdiction's priority non-housing community development needs eligible for assistance by CDBG eligibility category specified in the Community Development Needs Table (formerly Table 2B), – i.e., public facilities, public improvements, public services and economic development.
2. Describe the basis for assigning the priority given to each category of priority needs.

3. Identify any obstacles to meeting underserved needs.
4. Identify specific long-term and short-term community development objectives (including economic development activities that create jobs), developed in accordance with the statutory goals described in section 24 CFR 91.1 and the primary objective of the CDBG program to provide decent housing and a suitable living environment and expand economic opportunities, principally for low- and moderate-income persons.

NOTE: Each specific objective developed to address a priority need, must be identified by number and contain proposed accomplishments, the time period (i.e., one, two, three, or more years), and annual program year numeric goals the jurisdiction hopes to achieve in quantitative terms, or in other measurable terms as identified and defined by the jurisdiction.

3-5 Year Strategic Plan Community Development response:

In consultation with the general public through its public meetings and various other public forums conducted as part of the planning process for both the 2010-2014 Consolidated Plan and the City's new comprehensive plan as well as various other local community development agencies and organization, the City of Utica has developed a priority listing of its community development needs over the course of the next five (5) years. Following is a narrative description of those needs by category of eligibility:

03 - Public Facilities and Improvements

03C - Homeless Facilities

With its minimal funding through the Emergency Shelter Grant (ESG), the City of Utica will continue to support those local agencies and organizations that provide services and shelter to the City's homeless. The City of Utica will work in cooperation with the local Continuum of Care to identify and support providers that respond to the community's greatest needs and maximize leverage of the limited resources that the City can offer. The performance measurement against which the effectiveness of this funding will be judged is: the reduction in the biennial one day, point-in-time survey of homeless, sheltered and unsheltered.

03F - Parks, Recreational Facilities

This activity has also historically received funding from the City of Utica CDBG entitlement monies. This funding has traditionally been used to make improvements to various parks located throughout the City's CDBG Target Area. With the impending completion of the City's comprehensive plan, however, a number of goals and objectives related to parks and recreation are recommended. Once the comprehensive plan is adopted by the City of Utica Common Council, the funding will be used to begin to implement the recommendations where eligible for CDBG funding. The performance measurement against which the effectiveness of this funding will be judged is: increased use of parks system as judged by staff of City Department of Parks & Recreation.

03J - Water/Sewer Improvements

This activity is in response to a consent order which has been issued to the City of Utica by the New York State Department of Environmental Conservation. At issue is the City's aged infrastructure. Specifically, much of the City's storm sewer system was designed to empty to the Mohawk River. However, in many of the older sections of the City, the storm sewer line is shared by the sanitary sewer system in what is

termed a 'combined sewer'. As such, during periods of heavy rainfall or snow runoff, the combined sewer lines overflow and raw sewage is emptied directly into the Mohawk River. The solution that has been engineered has been estimated to cost approximately \$150 million. Under the consent order, expansion of the City's sewer system is threatened which will have implications on all new construction (including housing) and economic development. As a result, low- and moderate-income residents will be significantly impacted. This activity will fund eligible portions of the consent order response. The performance measurement against which the effectiveness of this funding will be judged is: the decrease in the sewage overflow directed to the Mohawk River.

03K - Street Improvements

The City of Utica has traditionally spent a portion of its CDBG entitlement on street reconstruction projects in primarily residential neighborhoods within the CDBG Target Area. Moving forward, however, the City of Utica will utilize the funding to develop 'green' streets as pilot projects in eligible neighborhoods. This project will be coordinated with the previous activity, sewer improvements, in that 'green' streets will be designed so as to minimize stormwater runoff that enters the sewer system. Instead, 'green' street design will utilize innovative design elements that allow the stormwater to percolate back into the ground. The resulting design will result in a new and modern look for the public right-of-way. The performance measurement against which the effectiveness of this funding will be measured is: the length of public right-of-way redesigned and reconstructed as 'green' streets.

03L - Sidewalks

This activity will be coordinated with the previous activity, street improvements, such that any new sidewalks to be built as part of the redesign of the public right-of-way in a 'green' street design will be funded through this activity line. The performance measurement against which the effectiveness of this funding will be measured is: square footage of sidewalk reconstructed.

03N - Tree Planting

This activity will also be coordinated with the previous two activities, street improvements and sidewalks, such that any street redesigned and reconstructed in the 'green' street style in eligible neighborhoods that incorporate new tree plantings will be funded through this activity line. Tree plantings, in particular, contribute to the environmental sustainability of a community through their reduction in the heat island effect and their positive contributions to air quality. The performance measurement against which the effectiveness of this funding will be measured is: number of trees planted.

04 - Clearance and Demolition

Since the 1990's, the City has historically funded a portion of its demolition program with CDBG entitlement monies. While the demolition program is less aggressive now than it was ten to fifteen years ago due to the significant drop in the rate of incidence of arson, there is still a need to demolish substandard structures annually throughout the City, but particularly within the City's CDBG Target Area. Substandard structures contribute to the degradation of the neighborhood, dragging down the values of adjacent properties, becoming potential health hazards to residents of the neighborhood and possibly harboring vagrants or criminal activity. Demolition of these units help to stabilize the neighborhood and encourage private investment in the cleared land by adjacent property owners who often purchase the cleared land from the City and expand their own property, often improving the land

with new sheds, garages, gardens or even an addition to their home. The performance measurement against which the effectiveness of this funding will be measured is: number of substandard structures demolished.

04A - Clean-up of contaminated sites

As a City where much of the development that still exists today was constructed between the mid-1700's and the mid-1900's, issues with brownfield sites and perceived contamination on those sites hampers the City of Utica's economic development strategy. Without the benefit of a wealth of greenfield sites, any new development depends on implementation of a successful brownfield remediation program. While the funding in this activity line will not adequately address the brownfield issue, the funding will be used to leverage other sources of funding to implement a proper brownfield remediation program that includes inventory of sites, characterization of those sites and eventual remediation. The performance measurement against which the effectiveness of this funding will be measured is: acres of land returned to developable status.

05A - Senior Services

As has historically been the practice within the City of Utica's Consolidated Plans and Annual Action Plans, funding for services for seniors continues to be a priority for the term of this 2010-2014 Consolidated Plan. Throughout the term of the Plan, the City will continue to strive toward consolidation of these services so as to make the most efficient use of the Federal funding. The performance measurement against which the effectiveness of this funding will be judged is: number of unduplicated seniors served.

05D - Youth Services

Like services for seniors, the City of Utica has traditionally utilized CDBG entitlement funds for eligible youth activities. Youth activities like the Young Scholars Program and the JCTOD After-School Program have proven to be successful at working with at-risk youth and providing them alternatives to crime or gangs. Also like the senior services, the City of Utica is concerned about the most efficient use of such funds and eliminating overlap of services. During the term of the 2010-2014 Consolidated Plan, it is likely that the City of Utica will implement a Request For Proposals process that will establish those activities deemed most beneficial, rather than the subjective application selection process that is currently employed to allocate funds. Such a process will become of greater importance in the 2013 program year as the City retires several longstanding Section 108 debts and has substantially more funding available to allocate to such services. The performance measurement against which the effectiveness of this funding will be judged is: number of unduplicated youths served.

05H - Employment Training

This is a new activity to be funded in the City of Utica with its CDBG entitlement. With the increased focus on environmental sustainability and energy efficiency, the City of Utica is partnering with Cornell University in an initiative termed Rust to Green (R2G), whereby Cornell University classes will utilize the cities of Utica and Binghamton as pilot projects in developing programs and projects that can serve to convert former Rust Belt communities to an environmentally-sensitive based economy. Through the funding in this activity line, the City of Utica will look to develop 'green-collar jobs', employment opportunities that build on the increased focus throughout the world on environmental sustainability. The performance

measurement against which the effectiveness of this funding will be judged is: number of 'green-collar jobs' created.

05J - Fair Housing Activities

In 2007, the City of Utica joined together with the City of Rome to conduct an Analysis of Impediments to Fair Housing, as required by HUD. The analysis, completed in 2008, found that the greatest impediment to fair housing in the Utica-Rome region was an adequate understanding about fair housing including the protected classes and what actions constituted a violation of fair housing laws. With the completion of the Analysis, it is now incumbent upon the City of Utica to begin to address the impediments which will be done through this activity line. The cities of Utica and Rome are in talks with the Fair Housing Council of Central New York about implementing a public education campaign as a first step in addressing this impediment. The performance measurement against which the effectiveness of this funding will be judged is: improved understanding about fair housing issues throughout the community.

05M - Health Services

Within the 2010-2014 Consolidated Plan, funding for this activity has been budgeted for the first two of five program years. Through the funding in this activity line, the City of Utica will work in partnership with Cornell University in the Rust to Green initiative to develop plans and policies that benefit public health, particularly among the City's low- and moderate-income residents. Among the plans and policies currently being considered is the development of a Food Policy Council to address a number of health-related food issues. Several of the issues that the Food Policy Council would address include: siting, development and oversight of urban community gardens; development of community gardens provide Utica's significant refugee and immigrant population with their native fruits and vegetables which aren't available in local markets; and, administration of local farmer's markets. The performance measurement against which the effectiveness of this funding will be judged is: development and implementation of public health programs and policies.

05P - Screening for Lead-Based Paint/Lead Hazards Poison

As noted earlier in this Plan, a preponderance of residential dwellings throughout the City of Utica were constructed prior to 1939. As such, lead-based paint is both a very serious housing issue and public health issue in the City of Utica. The City currently is implementing a \$2 million plus Lead Hazard Control grant through HUD and has committed \$200,000 annually for the next several years as part of the local match for the grant. These funds are included in the five year Community Development Needs table. Beyond that commitment, the City of Utica is committed to identifying and securing additional sources of funding that can be leveraged to continue screening and abatement of lead-based paint, even after the sunset of the current Lead Hazard Control grant. The performance measurement against which the effectiveness of this funding will be judged is: continued implementation of the current Lead Hazard Control grant and successful identification and award of additional sources of funding.

15 - Code Enforcement

For the past several years, the City has funded enhanced code enforcement in the CDBG Target Area neighborhoods. This funding has proven essential to halting deterioration in those neighborhoods over the years and, therefore, will be continued within the term of this 2010-2014 Consolidated Plan. The performance

measurement against which the effectiveness of this funding will be judged is: reduced number of code violations and citations.

16A - Residential Historic Preservation

One of the assets inherent in the City of Utica most often mentioned in public meetings is the architecture that remains to this day in downtown and throughout many of the City's residential neighborhoods. Deferred maintenance due to limited private resources combined with lack of appreciation for architectural features/details among the immigrant and refugee property owner population, however, threaten the long-term preservation of the City's unique architectural history. Funding through this activity line will be used to establish a program that assists homeowners of eligible properties with the preservation of their valuable asset which gives Utica its distinct flavor. The performance measurement against which the effectiveness of this funding will be judged is: number of properties preserved.

17D - Other Commercial/Industrial Improvements

As part of the City's economic development program, the City has historically offered several incentive programs aimed at either increasing the number of employment opportunities available for low- and moderate-income residents or leveraging private investment in targeted areas of the City. The City's Façade Program has been incredibly successful at leveraging private investment in targeted neighborhoods. The Façade Program provides grants to owners of commercial properties within identified targeted areas of the City for improvements to the exterior of their buildings - new windows, signage, awnings, etc. The amount of funding for which owners are eligible depends on their own level of investment. For the past twelve to eighteen months, the City has focused these grants in areas of the City where other public investment was either already in place or was imminent. The City will continue to evaluate the effectiveness of this program and adjust as necessary. The performance measurement against which the effectiveness of this funding will be judged is: amount of private investment leveraged.

18A - ED Direct Financial Assistance to For-Profits

The City of Utica has historically operated and administered an Economic Reinvestment Program (ERP) through the City's Department of Urban & Economic Development. The ERP program provides low interest loans to new and expanding businesses that commit to providing employment opportunities to low- and moderate-income residents of the City. While the City is considering a stronger relationship with Mohawk Valley EDGE, the regional economic development agency, for administration of the City's economic development program, the City will likely continue to fund either the ERP program or a program of similar purpose. The performance measurement against which the effectiveness of this funding will be judged is: number of employment opportunities created.

18C - Micro-Enterprise Assistance

Like its ERP program, the City has provided a nominal amount of its CDBG entitlement in years past to carrying out a program to encourage development of micro-enterprises. This, too, will continue in some form through the term of the 2010-2014 Consolidated Plan. The performance measurement against which the effectiveness of this funding will be judged is: number of employment opportunities created.

19B - HOME CHDO Operating Costs

This activity line has been consistently funded as part of the City's HOME entitlement budget. The funding is provided to the City's CHDO's against their eligible operating costs.

19C - Non-Profit Organization Capacity Building

Not traditionally funded in the past, a number of local initiatives are underway in which the City will likely involve itself and for which this funding will be applied. One initiative that is in its infant stages is a partnership between major funders of both for-profit and not-for-profit agencies and organizations. Mohawk Valley EDGE, the region's economic development agency, has joined together with the United Way and the local Community Foundation to evaluate the manner by which funds are awarded to various local agencies and organizations by each of the three partners. Given the amount of funding made available to similar agencies and organizations, the City of Utica will join this partnership within the term of this 2010-2014 Consolidated Plan..

19D - CDBG Assistance to Institutions of Higher Education

As noted, the City of Utica has just recently entered into a unique partnership with Cornell University. This Rust 2 Green initiative seeks effective ways of converting the traditional manufacturing-based economy of former Rust Belt cities like the City of Utica to an economy focused on environmental sustainability. This partnership is funded in part by a federal Hatch grant, but will be supplemented by a nominal amount of the City's CDBG entitlement. The leaders of the R2G initiative have already identified a vacant building in downtown Utica that will serve as headquarters; long dubbed the New Century building from a prior use, the building has been re-named the Green Century building.

19F - Planned Repayment of Section 108 Loan Principal

The City of Utica is currently allocating nearly \$1 million of its roughly \$3 million entitlement to the repayment of Section 108 loan principal and interest. Several of the loans being repaid, however, will be retired in 2012 (though substantial balloon payments will be due in 2012), leaving one loan that will not be retired until 2019. The retirement of the loans in 2013, however, will result in roughly \$500,000 in entitlement funds that can then be utilized to fund other CDBG-eligible activities. Additionally, the City of Utica is currently in the process of refinancing its existing loan balances in order to decrease the interest rate from its current 7% to roughly 1%, thereby saving nearly \$500,000 over the next ten years.

21A - General Program Administration

21B - Indirect Costs

21I - HOME CHDO Operating Expenses

These activity lines are funded for the general purpose of administration of the City's entitlement funds in accordance with all applicable Federal rules and regulations.

Unprogrammed funds

The City of Utica has budgeted funds for a number of housing initiatives, as identified within the Housing section of this Plan. Activities that are anticipated to be funded with CDBG and/or HOME monies include: rehabilitation of existing rental units, construction of new owner units and rehabilitation of existing owner units. While the funding budgeted for these activities lines could not possibly fully address the City's needs in each of these areas, the City intends to leverage these funds against other State and Federal resources in order to maximize impact of the City's limited resources.

Antipoverty Strategy (91.215 (h))

1. Describe the jurisdiction's goals, programs, and policies for reducing the number of poverty level families (as defined by the Office of Management and Budget and revised annually). In consultation with other appropriate public and private agencies, (i.e. TANF agency) state how the jurisdiction's goals, programs, and policies for producing and preserving affordable housing set forth in the housing component of the consolidated plan will be coordinated with other programs and services for which the jurisdiction is responsible.
2. Identify the extent to which this strategy will reduce (or assist in reducing) the number of poverty level families, taking into consideration factors over which the jurisdiction has control.

3-5 Year Strategic Plan Antipoverty Strategy response:

Poverty, in and of itself, is not an issue that can be addressed directly. Rather, poverty is a result or an outgrowth of any one of or a combination of a myriad of factors ranging from lack of employment opportunities, lack of education, lack of job readiness skills, substance abuse issues, mental health issues, poor financial planning, illiteracy, learned overdependence on social welfare, etc. A number of these issues can only be resolved by the individual or family experiencing poverty, while some issues are best addressed at the municipal level. It is these issues that can be resolved at the local level that the City of Utica has been and will continue to fund with its entitlement monies in order to reduce poverty among the City's residents.

The City has traditionally, and will continue, to fund youth activities that aim to develop youth from low- and moderate-income families into responsible, productive citizens. For its senior population, the City will continue to fund activities that allow these residents to live out their final years with the quality of life that they so richly deserve.

The City will continue to participate in the development of affordable housing for all of its citizens. Reducing housing costs for the City's lower income households will allow those households to invest in personal self-improvement necessary to climb out of poverty.

The most critical program to be funded by the City of Utica to help its residents stay above the poverty line is its economic development incentives tied directly to the provision of new employment opportunities. Ideally, these employment opportunities will be made available to low- and moderate-income residents. It is only through gainful employment that many families and individuals now living below the poverty line will be able to escape.

In partnership with economic development incentives, the City will continue to work with local agencies and organizations like the NYS Department of Labor, the Workforce Investment Board and others to provide job training and job readiness skills training to those most in need.

Low Income Housing Tax Credit (LIHTC) Coordination (91.315 (k))

1. (States only) Describe the strategy to coordinate the Low-income Housing Tax Credit (LIHTC) with the development of housing that is affordable to low- and moderate-income families.

3-5 Year Strategic Plan LIHTC Coordination response:

NOT APPLICABLE

NON-HOMELESS SPECIAL NEEDS

Specific Special Needs Objectives (91.215)

1. Describe the priorities and specific objectives the jurisdiction hopes to achieve over a specified time period.
2. Describe how Federal, State, and local public and private sector resources that are reasonably expected to be available will be used to address identified needs for the period covered by the strategic plan.

3-5 Year Non-homeless Special Needs Analysis response:

Based on the information within the Non-homeless Special Needs table included in this 2010-2014 Consolidated Plan, the housing needs of most of the non-homeless special needs populations are fulfilled within the existing housing market in the City of Utica. There are no gaps in the housing need for particular subpopulations, including: developmentally disabled, physically disabled, alcohol/other drug addicted, and persons with HIV/AIDS and their families. By virtue of the City of Utica being the county seat and home to numerous social service agencies and not-for-profits, those needs have clearly been fulfilled.

Minimal gaps do still exist, however, in the housing needs for public housing residents, the elderly and the frail elderly. It is these gaps that point out a need that must be addressed by the City of Utica during the term of the City of Utica 2010-2014 Consolidated Plan.

Relative to public housing, the City of Utica supports the Utica Municipal Housing Authority which is completely separate and autonomous from the City of Utica. As such, the City of Utica is limited in the extent to which the City's federal entitlement funds can finance construction or rehabilitation of public housing units. To the extent permissible, however, the City of Utica will support any effort by the Utica Municipal Housing Authority to address gaps in the housing needs of its residents.

Relative to the housing needs of the elderly and the frail elderly, the City of Utica will work with the local agencies and organizations that provide services to senior citizens over the next several years to develop a plan to address and eliminate this gap. Additionally, the City of Utica will work with its CHDO's to determine potential solutions and possible alternative sources of funding that can be leveraged by the City's federal entitlement monies.

Non-homeless Special Needs (91.205 (d) and 91.210 (d)) Analysis (including HOPWA)

*Please also refer to the Non-homeless Special Needs Table in the Needs.xls workbook.

1. Estimate, to the extent practicable, the number of persons in various subpopulations that are not homeless but may require housing or supportive services, including the elderly, frail elderly, persons with disabilities (mental, physical, developmental, persons with HIV/AIDS and their families), persons with alcohol or other drug addiction, and any other categories the jurisdiction may specify and describe their supportive housing needs. The jurisdiction can use the Non-Homeless Special Needs Table (formerly Table 1B) of their Consolidated Plan to help identify these needs.
*Note: HOPWA recipients must identify the size and characteristics of the population with HIV/AIDS and their families that will be served in the metropolitan area.
2. Identify the priority housing and supportive service needs of persons who are not homeless but require supportive housing, i.e., elderly, frail elderly, persons with disabilities (mental, physical, developmental, persons with HIV/AIDS and their families), persons with alcohol or other drug addiction by using the Non-homeless Special Needs Table.
3. Describe the basis for assigning the priority given to each category of priority needs.
4. Identify any obstacles to meeting underserved needs.
5. To the extent information is available, describe the facilities and services that assist persons who are not homeless but require supportive housing, and programs for ensuring that persons returning from mental and physical health institutions receive appropriate supportive housing.
6. If the jurisdiction plans to use HOME or other tenant based rental assistance to assist one or more of these subpopulations, it must justify the need for such assistance in the plan.

3-5 Year Non-homeless Special Needs Analysis response:

While housing needs for the non-homeless special needs sub-population groups are largely served within the City of Utica existing housing market, gaps in the supportive services available to those sub-populations are greater.

As the largest urban center between Schenectady and Syracuse, the City of Utica is home to a disproportionate number of not-for-profits and human- and social-service agencies. Despite the number of agencies and organizations, they are overwhelmed with the numbers of people requiring their services. Budget cuts under the previous presidential administration to social service programs combined with ever-decreasing budgets for those services at the State level have limited the ability of these agencies and organizations to expand service.

Though difficult to estimate the numbers of persons requiring supportive services along with the number of unduplicated persons served as no such data is maintained, it is estimated that additional supportive services are necessary for all sub-populations of non-homeless special needs persons.

The biggest obstacle to meeting the underserved need is the ever-decreasing amount of funding at all levels of government with which existing social service agencies and organizations receive to provide such services. At a time when the nation is in the midst of coming to grips with the national recession in which it has been mired, many State and local governments face increasing pressure to fund only the most essential services. Unfortunately, it is often the services to these sub-populations that are the first to be eliminated, resulting in greater reliance of federal entitlement monies by these agencies and organizations.

Discharge Coordination Policy

The local community already has in place policies and protocols to ensure that persons in need receive the necessary and appropriate supportive housing. These policies and protocols are divided into the various disciplines from which people may be discharged. The following policies and protocols are the same policies and protocols followed by the CoC and previously submitted to HUD by the Continuum of Care.

For patients being discharged from hospital care, there are two hospitals in the City of Utica which are both JCAHO (Joint Commission on the Accreditation of Health Care Organizations) accredited and in compliance with accreditation standards. All employ social work staff to prevent homeless discharge. Also, a team of Crisis Service workers funded through the Oneida County Department of Mental Health works directly and actively with hospital emergency room staff to assess and address the needs of individuals in mental health or substance abuse crisis and prevent homelessness upon discharge from the emergency room. These hospitals participate actively in the New York State Adult Single Point of Access and Accountability (ASPOAA) process (discussed in detail below for mental health patients) to ensure that those with a serious (Axis I diagnosis) mental health disability have housing upon discharge. Implementation date for ASPOAA coordination of hospital discharge was June 2004.

For mental health patients, NYS Adult Single Point of Access and Accountability (ASPOAA) and section 29.15(f), (g) and (h) of Mental Hygiene Law, hospitals with inpatient psychiatric units are required to prepare a written service plan for all patients about to be discharged. The treatment plan must include supervision, medication, and aftercare services. The Oneida County Department of Mental Health monitors concerns and issues related to discharge planning in two ways. The first is that the County monitors discharge planning through the weekly ASPOAA process that is coordinated by the Oneida County Department of Mental Health (per New York State regulations). When individuals are nearing discharge, service needs and resources are discussed at ASPOAA and a discharge plan with a housing component is formulated for high-risk, high-need situations (e.g., homelessness). The second way that the Department of Mental Health reviews and monitors discharge concerns is through annual license reviews of clinical and case management programs done in collaboration with the New York State Office of Mental Health. ASPOAA policies have been in place since 2004.

Housing Opportunities for People with AIDS (HOPWA)

*Please also refer to the HOPWA Table in the Needs.xls workbook.

1. The Plan includes a description of the activities to be undertaken with its HOPWA Program funds to address priority unmet housing needs for the eligible population. Activities will assist persons who are not homeless but require supportive housing, such as efforts to prevent low-income individuals and families from becoming homeless and may address the housing needs of persons who are homeless in order to help homeless persons make the transition to permanent housing and independent living. The plan would identify any obstacles to meeting underserved needs and summarize the priorities and specific objectives, describing how funds made available will be used to address identified needs.
2. The Plan must establish annual HOPWA output goals for the planned number of households to be assisted during the year in: (1) short-term rent, mortgage and utility payments to avoid homelessness; (2) rental assistance programs; and (3) in housing facilities, such as community residences and SRO dwellings, where funds are used to develop and/or operate these facilities. The plan can also describe the special features or needs being addressed, such as support for persons who are homeless or chronically homeless. These outputs are to be used in connection with an assessment of client outcomes for achieving housing stability, reduced risks of homelessness and improved access to care.
3. For housing facility projects being developed, a target date for the completion of each development activity must be included and information on the continued use of these units for the eligible population based on their stewardship requirements (e.g. within the ten-year use periods for projects involving acquisition, new construction or substantial rehabilitation).
4. The Plan includes an explanation of how the funds will be allocated including a description of the geographic area in which assistance will be directed and the rationale for these geographic allocations and priorities. Include the name of each project sponsor, the zip code for the primary area(s) of planned activities, amounts committed to that sponsor, and whether the sponsor is a faith-based and/or grassroots organization.
5. The Plan describes the role of the lead jurisdiction in the eligible metropolitan statistical area (EMSA), involving (a) consultation to develop a metropolitan-wide strategy for addressing the needs of persons with HIV/AIDS and their families living throughout the EMSA with the other jurisdictions within the EMSA; (b) the standards and procedures to be used to monitor HOPWA Program activities in order to ensure compliance by project sponsors of the requirements of the program.
6. The Plan includes the certifications relevant to the HOPWA Program.

3-5 Year Strategic Plan HOPWA response:

NOT APPLICABLE

Specific HOPWA Objectives

1. Describe how Federal, State, and local public and private sector resources that are reasonably expected to be available will be used to address identified needs for the period covered by the strategic plan.

3-5 Year Specific HOPWA Objectives response:

NOT APPLICABLE

OTHER NARRATIVE

Include any Strategic Plan information that was not covered by a narrative in any other section.