



Executive Summary

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

1. Introduction

In compliance with HUD regulations, the City of Utica developed this FY 2015-2019 Five Year Consolidated Plan for the period of April 1, 2015 through March 31, 2019 as a strategic implementation plan for the City's Federal funding programs for housing, community and economic development.

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

1. Community Development Block Grant (CDBG)

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

2. HOME Investment Partnership (HOME)

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

3. Emergency Solutions Grant (ESG)

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

The Five Year Consolidated Plan establishes the Utica's goals for the next five (5) year period and outlines initiatives the City proposes to undertake to address its needs and objectives including: 1) public infrastructure; 2) the rehabilitation and construction of decent, safe, and healthy housing; 3) creating a suitable living environment; 4) removing slums and blighting conditions; 4) promoting fair housing; 5) improving public services; 6) expanding economic opportunities; and 7) principally benefitting low and moderate income persons.

The Consolidated Plan is implemented through annually-developed Action Plans which provide a concise summary of the actions, activities, and specific funding resources that will be used each year to address the priority needs and goals identified in the Consolidated Plan; both plans are submitted to HUD for review and approval. This Consolidated will include the first year (2015 - 2016) Annual Plan.

The development of this Five Year Consolidated Plan was aligned with a 2014 Promise Zone application and a Community Needs Assessment process which began in July of 2014 - a collaborative effort of the City of Utica administration, residents, social service agencies, housing providers, community development agencies, and economic development organizations with support from the regional HUD offices in Albany and Buffalo. The joint planning process for these projects was accomplished through a

series of public meetings, community roundtables, resident surveys, statistical data updates, and with a number of other local and regional planning documents in mind.

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

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

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

- **Creating a suitable living environment**
 - accessibility for the purpose of providing suitable living environments
 - affordability for the purpose of providing suitable living environments
 - suitability for the purpose of providing suitable living environments

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

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

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

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

The 2015-2019 Consolidated Plan outlines the activities the City of Utica proposes to initiate to achieve these objectives and associated outcomes required by HUD. The City of Utica expects to allocate a large percentage of its CDBG HUD entitlement funds to “community” redevelopment programs that are part of a comprehensive approach. The 2015-2019 Consolidated Plan outlines various activities within the following categories: housing construction and rehabilitation, public services and community development, business /economic development and homelessness prevention activities.

3. Evaluation of past performance

The past Consolidated Plan period (2010 – 2015) has been a time of considerable change for the City of Utica, specifically in the City’s Department of Urban & Economic Development (UED), and the manner by which federal CDBG, HOME and ESG funds are managed and allocated. Over the last three years of the Consolidated Plan, the City has worked diligently to improve the management of Federal funds. The change has been apparent beyond just the HUD Buffalo office. In 2014, the City of Utica was selected by Jaime Forero, Field Office Director in HUD’s Albany office, for a Community Needs Assessment, 1 of only 3 in NYS and a handful across the country at the time. As a result of that Community Needs Assessment, a 2-year action plan has been drafted, which serves as the foundation for this 5-year Consolidated Plan. Beyond implementing a sea change in the administration of Federal funds, Mayor Palmieri also instituted a change in the allocation of those funds upon coming into office. He felt that previous allocations spread the dwindling funds over too large an area, resulting in less noticeable impact. Instead, he felt that targeting specific areas/neighborhoods and focusing all public funds, including City, State and Federal, would create more significant impact and result in lasting change for those targeted neighborhoods. On that basis, four areas were selected, including: the Bleecker Street/International Row corridor, the Newell Street corridor, Capital Avenue neighborhood and the Center City neighborhood. In the latter half of the Consolidated Plan period, the downtown was also divided into neighborhoods including Bagg’s Square, Varick Street/Brewery District and the Genesee Street/Oneida Square District. In considering the progress made in each of these targeted areas, there have been varying degrees of success. In Bagg’s Square, a governance structure has been established, a detailed neighborhood plan has been developed with help from several studios at Cornell University, a public survey has been conducted which led to a branding campaign and development of a new logo. The intent is to replicate the same model employed in the Bagg’s Square neighborhood in the Bleecker Street and Varick Street/Brewery District corridors and the Genesee Street/Oneida Square District. Over the 5 year period covered by the current Consolidated Plan, the City of Utica has faced annual decreases in funding of both CDBG and HOME. The amount of its CDBG entitlement has decreased by \$937,648 or nearly 30% in just the last 5 years. The decrease in HOME dollars has been even more severe, dropping by \$449,053 or just less than 50% over the same timeframe. The City’s Emergency Solutions Grant, on the other hand, has increased by \$58,783 or 46% since 2010. Such trends are expected to continue over the course of the next Consolidated Plan period. One result of the decreasing HOME entitlement is that the City has begun to invest more of its CDBG entitlement into housing activities. Historically, the City has not funded housing activities with CDBG funds, choosing instead to utilize its HOME dollars to fund housing activities that leveraged other funds, such as Low Income Housing Tax Credits.

4. Summary of citizen participation process and consultation process

In developing this 2015-2019 Consolidated Plan, the City of Utica utilized several avenues for input from the general public and community stakeholders, including:

Community Roundtables – all held at the CNY Veteran’s Outreach Center

- Economic Development, September 18, 2014 - 8:00 am-12:00 pm
- Health, Education and Changing Demographics, October 2, 2014 - 8:00 am-12:00 pm
- Housing, Public Safety and Capacity Building, October 16, 2014 - 8:00 am-12:00 pm

Cornell’s R2G Utica Urban Studio assisted the City to develop questions and procedures for a Community Needs Assessment Roundtable component. The three Roundtable discussions and the recommendations from participants aided the City in developing the framework for a 2-year Community Needs Assessment Plan aligned with this Consolidated Plan.

Attendees at the roundtable discussions represented many of the clients served by CDBG, HOME and ESG funding and many of the area non-profits, agencies and organizations located in the target areas of Utica, as well as private industry leaders and educational institutions.

Community/Student Survey – Surveys were made available to the community in late 2014 for a roughly 4 week period; the survey was available both online and paper copy. The City received 850 responses. The City also worked with the Utica City School District to gather input to the survey from the 10th grade class at Proctor High School. For this survey, the City received 1208 responses.

Surveys included a broad range of questions asking respondents to identify their community needs across program areas and to rate the City’s performance with regard to on meeting the needs identified in the 2010-2014 Consolidated Plan and the Roundtables. The survey was available in many languages to ensure that non/limited-English speaking citizens could participate.

2013 HomeOwnership Center Community Survey of the Center City neighborhood – A total of 206 residents completed the survey and visual assessments of 100 individual structures and 43 city blocks were conducted. The respondents rated the City’s progress related to a number of community development indicators including crime, housing, public services, etc. This is a predominately low/moderate income neighborhood with a large non-white population.

Public Hearings

A total of three public meetings were advertised and conducted:

- Tuesday, November 18th, 6:30 PM at Thomas Lindsey Public Safety Building (Cornhill)
- Monday, December 1st, 6:30 PM at BOCES Access Center (East Utica)

- Thursday December 4th, 6:30 PM at Utica City Hall (Citywide)

Community Meetings – The Cornell University R2G Utica Urban Studio staff conducted monthly meetings in four target area neighborhoods throughout the year to obtain public input regarding priority needs. City staff also attends The HomeOwnership Center monthly community meetings.

Agency Meetings – City staff and R2G staff meet on a continual basis with housing, social service agencies, and the CoC to provide technical assistance and receive input on a variety of issues.

Not-for-profit funding applications - The City of Utica opened a call for proposals for funding through the City's annual Community Development Block Grant (CDBG) entitlement program for the 2015-2016 program year. Eligible activities requesting funding included low/moderate income direct benefit activities (housing, job creation/retention, public services) and/or activities aimed at the elimination of slums and blight. Applications were accepted over a two month period.

5. Summary of public comments

To date, the City has received one (1) comment relative to the draft 2015-2019 Consolidated Plan. The comment was delivered in the form of a petition with just over one hundred (100) signatures asking that the City provide the same amount of funding to the Westside Senior Center as the other two senior centers in the City – the Parkway Senior Center and the North Utica Senior Center.

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

During a review of the applications received for CDBG funding for the 2015-2016 program year, City staff analyzed the past performance and current financial stability of the three senior centers and determined that based upon the financial requirements of the Westside senior center (CDBG portion of the budget was 30% as opposed to 2% for North Utica and 11% for Parkway and fund balance is over \$100,000 less), the number of individuals served (Westside serves 1275-1575 fewer individuals than the other two centers), and the amount of outside funds leveraged (Westside leveraged >\$50,000 less than the other centers). Based on this analysis, it was clear to City staff and members of the Common Council that the three senior centers could not be compared evenly. On that basis, the Westside Senior Center was allocated slightly less CDBG funds than the other two centers for the 2015-2016 program year.

7. Summary

After significantly overhauling the manner by which federal funds are both managed and allocated during the last 2010 – 2014 Consolidated Plan, the City of Utica looks with eager anticipation at the next five years. With significant planning efforts invested into the City's first master plan in over 60 years and a Community Needs Assessment that included a public outreach component unlike any this community has seen in recent history, the City is ready to begin implementation of these plans and to begin to see real, palpable differences made in the City.

To paraphrase Rev. Maria Scates, the Executive Director of one of the City's CDBG subrecipients, who has championed revitalization of one of the City's historically most troubled neighborhoods – *“The winds of change are blowing through the City of Utica!!”*

If the changes brought about by the change in mayoral administration weren't enough, the State's investment in Nano Utica has the potential to forever change the landscape of this City. In order to capitalize on this potential, however, we must be ready. The goals and objectives espoused in this 2015 – 2019 Consolidated Plan and 2015 – 2016 Annual Action Plan lay the necessary groundwork for that preparation.

The 2015-2019 Consolidated Plan and 2015 – 2016 Annual Action Plan that follows were developed based on an extensive public outreach effort and coordination with a numerous community partners, including the Continuum of Care and the Utica Municipal Housing Authority. The Plan adheres to all applicable HUD requirements.

The Process

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

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

The following are the agencies/entities responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

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

Table 1 – Responsible Agencies

Narrative

Utica’s Department of Urban and Economic Development (UED), in consultation with other City Departments, including Parks and Recreation, Engineering, Code Enforcement, and the Mayor’s Office are responsible for developing the 2015-2019 Consolidated Plan and 2015 Annual Action Plan and for administering CDBG, HOME and ESG grant activity and funding. UED is also responsible for developing the Consolidated Annual Evaluation Reports (CAPER), processing pay requests, performing contracting, and all oversight of the programs on a daily basis.

In 2014-2015 the City worked in coordination with Cornell University’s R2G Urban Studio, with offices on the 3rd floor of City Hall to help engage the community and develop the overall strategy for community revitalization.

Consolidated Plan Public Contact Information

Questions or comments regarding the 2015-2019 Consolidated Plan or the 2015 Annual Action Plan should be directed to:

Brian Thomas, AICP - Commissioner of Urban & Economic Development
 Phone: 315-792-0181
 E-mail: bthomas@cityofutica.com

PR-10 Consultation - 91.100, 91.200(b), 91.215(I)

1. Introduction

The City of Utica and the Utica/Rome/Oneida Madison Continuum of Care work together in order to address homeless issues in the City.

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

As will be detailed in greater detail in the following section, the City of Utica conducted a Community Needs Assessment (CNA) in partnership with the HUD regional office in Albany throughout much of 2014, which served as a significant coordination effort on the part of the City of Utica. As part of the CAN, a series of three roundtable discussions were convened on the topics of Economic Development, Community Development, and Health, Education & Changing Demographics. Each of the three main topics were then divided into three separate sub-topics.

The City assembled a list of all of the community's stakeholders with expertise in each of the three main topic areas and invited them to roundtable discussions at the Veteran's Outreach Center. Over 100 participants attended these roundtable discussions and participated in discussion involving the main topics and sub-topics; the participants represented a broad cross-section of housing and public service agencies and organization. The specific organizations, agencies, and entities consulted are outlined below.

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

The City of Utica works closely with the CoC to address the needs of homeless persons in our community. Through our new rank and review process, 4 members of the Continuum board decided to fund the following programs which serve chronically homeless individuals and families, families with children, veterans, and unaccompanied youth:

- Hall House (\$39,699,) to operate a shelter for female victims of domestic violence and their children.
- Johnson Park Center (\$21,621) to continue funding for the emergency/transitional housing program for females who may have been ex-offenders or substance abusers and the chronically homeless.
- New Horizons (\$17,191) to operate a 14-bed transitional housing facility for females between 16 and 21 that are unable to return to their homes.

- Evelyn’s House (\$14,532) to operate a 7-bed shelter for pregnant and parenting teenage mothers.
- John Bosco House (\$17,191) to operate a 6-bed transitional housing facility for homeless young, single men.
- Johnson Park Center (\$53,168) to operate the rapid-rehousing and homelessness prevention portion of the program. This component of the City of Utica’s Emergency Solutions Grant complies with the minimum 40% rapid-rehousing requirement; JPC will operate a security deposit program which will help those individuals and families at imminent risk of becoming homeless with assistance in securing new housing.
- Utica Center for Development (13,292) to operate their rapid re-housing program. This is the first year that the center for development has applied for funding.

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

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

This year, the City released a Request for Proposals (RFP) in December as usual. A public meeting for input from the community and potential ESG sub-recipients was held on January 8th at City Hall. Applications were due on January 14th. In all we received nine (9) applications from 7 different agencies.

The CoC steering committee met and decided that a revision of the City’s existing ranking criteria would be in everyone’s best interest. The following criteria were developed:

Finance & Supporting Documents (15 Points)

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

Activity Proposal (25 Points)

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

Organizational Information (35 Points)

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

Community Partnerships & Program Integration (25 Points)

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

Four (4) members of the CoC board ranked each of the applications separately, and then met to compare & discuss their scores. Members involved were Steve Darman - MV Housing and Homeless Coalition, Chris Lawrence - City of Utica, Tom Labayewski – Hope House and Robin Robinson – United Way of the Valley and Greater Utica.

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

Table 2 – Agencies, groups, organizations who participated

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

4	Agency/Group/Organization	UTICA
	Agency/Group/Organization Type	Other government - Local
	What section of the Plan was addressed by Consultation?	Homelessness Strategy Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	Chris Lawrence of the City of Utica, was one of four continuum of care members to assist in developing new rank and review criteria as well as to score ESG applications received by the City of Utica.
5	Agency/Group/Organization	CATHOLIC CHARITIES
	Agency/Group/Organization Type	Services - Housing Services-Health
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Non-Homeless Special Needs
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This agency was consulted as part of the Community Needs Assessment Roundtables.
6	Agency/Group/Organization	ONEIDA COUNTY
	Agency/Group/Organization Type	Other government - County
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Lead-based Paint Strategy Non-Homeless Special Needs Market Analysis
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	
7	Agency/Group/Organization	The Neighborhood Center
	Agency/Group/Organization Type	Services-Children Services-Persons with Disabilities
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs

	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted as part of the Community Needs Assessment
8	Agency/Group/Organization	Utica Municipal Housing Authority
	Agency/Group/Organization Type	Housing PHA Services - Housing
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Public Housing Needs Non-Homeless Special Needs Market Analysis Anti-poverty Strategy
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted at length with regard to the needs of public housing, they were part of the housing roundtable for the community needs assessment and they were regularly consulted during the writing of the Consolidated Plan.
9	Agency/Group/Organization	PARKWAY SENIOR CENTER INC.
	Agency/Group/Organization Type	Services-Elderly Persons Services-Health
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted with regard to the needs of the elderly both as part of the Consolidated Plan and the Community Needs Assessment.
10	Agency/Group/Organization	RESOURCE CENTER FOR INDEPENDENT LIVING INC.
	Agency/Group/Organization Type	Services-Elderly Persons Services-Persons with Disabilities Services-Health
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs

	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted as part of the community needs assessment.
11	Agency/Group/Organization	MOHAWK VALLEY COMMUNITY COLLEGE
	Agency/Group/Organization Type	Services-Education Services-Employment
	What section of the Plan was addressed by Consultation?	Economic Development
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This Organization was consulted as part of the community needs assessment specifically with regard to education and employment readiness programs.
12	Agency/Group/Organization	UTICA COLLEGE
	Agency/Group/Organization Type	Services-Education
	What section of the Plan was addressed by Consultation?	Economic Development
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted as part of the community needs assessment.
13	Agency/Group/Organization	YOUNG SCHOLARS PROGRAM @ UTICA COLLEGE
	Agency/Group/Organization Type	Services-Children Services-Education
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs Economic Development
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted as part of the Community Needs Assessment
14	Agency/Group/Organization	Utica Public Library
	Agency/Group/Organization Type	Services-Children Services-Education
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs Economic Development

	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted as part of the Community Needs Assessment
15	Agency/Group/Organization	Legal Aid Society of Mid-New York
	Agency/Group/Organization Type	Legal Services
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs Anti-poverty Strategy
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted as part of the community needs assessments
16	Agency/Group/Organization	Mohawk Valley Latino Association
	Agency/Group/Organization Type	Services-Children Translation Services
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted as part of the community needs assessment
17	Agency/Group/Organization	HOUSING VISIONS DEVELOPMENT GROUP
	Agency/Group/Organization Type	Housing Services - Housing
	What section of the Plan was addressed by Consultation?	Housing Need Assessment
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted as part of the Community Needs Assessment

18	Agency/Group/Organization	JOHNSON PARK CENTER
	Agency/Group/Organization Type	Housing Services - Housing Services-Children Services-Victims of Domestic Violence Services-homeless Services - Victims
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homelessness Strategy Homeless Needs - Chronically homeless Homeless Needs - Families with children Non-Homeless Special Needs Anti-poverty Strategy
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted as part of the community needs assessment and the CDBG Application Process
19	Agency/Group/Organization	UNHS NeighborWorks Homeownership Center
	Agency/Group/Organization Type	Housing Services - Housing
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Lead-based Paint Strategy Non-Homeless Special Needs Market Analysis Anti-poverty Strategy
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization was consulted as part of the CDBG Application Process, Community Needs Assessment, and the HOME Program Allocations.
20	Agency/Group/Organization	UTICA SAFE SCHOOLS HEALTHY STUDENTS PARTNERSHIP, INC.
	Agency/Group/Organization Type	Services-Children Services-Education Services-Employment
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs Economic Development

<p>How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?</p>	<p>This organization was consulted as part of the Community Needs Assessment and CDBG Application Process</p>
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Identify any Agency Types not consulted and provide rationale for not consulting

No agency was knowingly not consulted.

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

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

Table 3 – Other local / regional / federal planning efforts

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

Shortly after being elected to office in 2010, Governor Andrew Cuomo overhauled the manner by which grant dollars at the State level were doled out to private sector beneficiaries, as well as local municipalities like the City of Utica. Each year, roughly \$700 million in State grant dollars are awarded to various regions through a competitive process that is based on the long-term strategic plans for economic growth that each council must prepare and submit to the State.

The Governor established ten (10) regional economic development councils which were designed to be public-private partnerships with a governing body that was comprised of ‘local experts and stakeholders from business, academia, local government and non-governmental organizations’ (<http://regionalcouncils.ny.gov/>). As Mayor of the largest municipality in the Mohawk Valley region, Mayor Robert M. Palmieri is an ex-officio member of the regional council. As such, the City of Utica regularly cooperates and coordinates its development efforts with the Mohawk Valley regional economic council.

Each year that these councils have been in existence, the City has applied for numerous grants to assist in the implementation of various plans, including the City’s Consolidated Plan. For instance, to date, the City of Utica has been awarded nearly \$8 million in State funds to plan and implement the redevelopment of Harbor Point, which will provide increased recreational and retail opportunities for

the City's residents, including those of low- to moderate-income. In the most recent funding round, the City partnered with the Homeownership Center in a successful application for \$500,000 for development of Kemble Park, in the City's Cornhill neighborhood, which will serve primarily low- to moderate-income persons and households. The City also received a grant totaling \$168,750 to update its zoning code, an outgrowth of the 2011 adoption of the City's master plan.

Moving into the 2015-2019 Consolidated Plan, the City will continue to work closely with the Mohawk Valley Regional Economic Development Council as we seek State funds to assist in the implementation of the Consolidated Plan and other City plans.

Narrative (optional):

PR-15 Citizen Participation

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

Citizen Participation Outreach

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
1	Community Needs Assessment Roundtable Discussions	Agencies listed in PR10	Considerable response gathered on 3 main topics - Economic Development, Community Development and Health, Education and Changing Demographics and 3 subtopics for each of the main topics	Comments focused on need for more affordable housing, market-rate housing, employment opportunities, access to health care and health care facilities, improved access to healthy foods, greater education access	No comments discarded, all comments accepted	

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
2	Community Needs Assessment Roundtable Discussions	Non-targeted/broad community	850 responses received	Focused largely on need for better street and infrastructure and more economic opportunities	No comments discarded; all comments welcomed	
3	Community Needs Assessment Roundtable Discussions	Youth (Utica High School)	1,208 responses received	Comments focused on need for greater wi-fi, better transportation and more youth activities	No comments discarded; all comments welcomed	
4	Public Meeting	Non-targeted/broad community	3 meetings held in various neighborhoods throughout the City; attendance varied depending on location/schedule	Comments focused on possible priorities for federal funding; infrastructure and job creation topped the list	No comments discarded; all comments welcomed	
5	Community Needs Assessment Roundtable Discussions	Not-for-profit and public services agencies seeking allocation of City's CDBG funds	17 applications received; higher number of new applicants than in previous years	Requests for funds totaled in excess of \$800,000; Westside Senior Center argued for funding level equivalent to other two senior centers	City refuted reasoning of Westside Senior Center based on financial stability of Westside and on merit in comparison of all 3 senior centers	

Table 4 – Citizen Participation Outreach

Needs Assessment

NA-05 Overview

Needs Assessment Overview

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

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

Analysis of disproportionate needs disproportionate need amongst Black/African American, Asian and Hispanic populations within various income brackets.

Disproportionate needs: Housing problems:

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

Disproportionate Need: Severe Housing problems:

- Black/African American households earning 30-50% AMI
- Black/African American households earning 50-80% AMI
- Asian households earning 30-50% AMI
- Asian households earning 80-100% AMI
- Hispanic households earning 0-30% AMI
- Hispanic households earning 30-50% AMI

Disproportionate Need: Cost Burden:

- Hispanic households for cost burden between 30% - 50% of household income
- Hispanic households for cost burden greater than 50% of household income
- Black/African American for cost burden greater than 50% of household income
- Asian for cost burden greater than 50% of household income

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

With regard to special needs, the City has identified needs amongst all special needs across all special needs populations for supportive housing, job training, education access and social service access.

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

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

Summary of Housing Needs

Demographics	Base Year: 2000	Most Recent Year: 2011	% Change
Population	60,651	61,957	2%
Households	25,093	24,386	-3%
Median Income	\$24,916.00	\$32,050.00	29%

Table 5 - Housing Needs Assessment Demographics

Data Source: 2000 Census (Base Year), 2007-2011 ACS (Most Recent Year)

Number of Households Table

	0-30% HAMFI	>30-50% HAMFI	>50-80% HAMFI	>80-100% HAMFI	>100% HAMFI
Total Households *	5,005	3,995	4,680	2,205	8,500
Small Family Households *	1,540	1,070	1,535	890	3,895
Large Family Households *	760	395	315	220	720
Household contains at least one person 62-74 years of age	595	655	645	375	1,730
Household contains at least one person age 75 or older	715	1,115	1,070	285	760
Households with one or more children 6 years old or younger *	1,275	844	750	430	685
* the highest income category for these family types is >80% HAMFI					

Table 6 - Total Households Table

Data Source: 2007-2011 CHAS

Housing Needs Summary Tables

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

	Renter					Owner				
	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total
NUMBER OF HOUSEHOLDS										
Substandard Housing - Lacking complete plumbing or kitchen facilities	95	4	30	0	129	20	0	25	0	45
Severely Overcrowded - With >1.51 people per room (and complete kitchen and plumbing)	40	10	20	25	95	4	0	10	0	14
Overcrowded - With 1.01-1.5 people per room (and none of the above problems)	175	110	0	55	340	20	15	4	10	49
Housing cost burden greater than 50% of income (and none of the above problems)	2,640	660	70	10	3,380	555	295	130	60	1,040
Housing cost burden greater than 30% of income (and none of the above problems)	410	1,065	660	45	2,180	95	435	570	160	1,260

	Renter					Owner				
	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total
Zero/negative Income (and none of the above problems)	260	0	0	0	260	75	0	0	0	75

Table 7 – Housing Problems Table

Data 2007-2011 CHAS

Source:

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

	Renter					Owner				
	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total
NUMBER OF HOUSEHOLDS										
Having 1 or more of four housing problems	2,945	785	120	90	3,940	600	310	165	70	1,145
Having none of four housing problems	920	1,955	2,570	815	6,260	205	950	1,825	1,230	4,210
Household has negative income, but none of the other housing problems	260	0	0	0	260	75	0	0	0	75

Table 8 – Housing Problems 2

Data 2007-2011 CHAS

Source:

3. Cost Burden > 30%

	Renter				Owner			
	0-30% AMI	>30-50% AMI	>50-80% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	Total
NUMBER OF HOUSEHOLDS								
Small Related	1,110	635	325	2,070	149	130	340	619
Large Related	600	195	55	850	110	85	40	235
Elderly	455	410	125	990	355	415	220	990

	Renter				Owner			
	0-30% AMI	>30-50% AMI	>50-80% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	Total
Other	1,150	550	245	1,945	70	110	95	275
Total need by income	3,315	1,790	750	5,855	684	740	695	2,119

Table 9 – Cost Burden > 30%

Data 2007-2011 CHAS
Source:

4. Cost Burden > 50%

	Renter				Owner			
	0-30% AMI	>30-50% AMI	>50-80% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	Total
NUMBER OF HOUSEHOLDS								
Small Related	990	265	35	1,290	145	80	45	270
Large Related	520	30	0	550	90	65	0	155
Elderly	295	230	25	550	270	115	55	440
Other	1,060	145	20	1,225	70	45	30	145
Total need by income	2,865	670	80	3,615	575	305	130	1,010

Table 10 – Cost Burden > 50%

Data 2007-2011 CHAS
Source:

5. Crowding (More than one person per room)

	Renter					Owner				
	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total	0-30% AMI	>30-50% AMI	>50-80% AMI	>80-100% AMI	Total
NUMBER OF HOUSEHOLDS										
Single family households	200	80	20	55	355	4	10	4	10	28
Multiple, unrelated family households	14	50	0	25	89	20	4	10	0	34
Other, non-family households	0	0	0	0	0	0	0	0	0	0
Total need by income	214	130	20	80	444	24	14	14	10	62

Table 11 – Crowding Information – 1/2

Data 2007-2011 CHAS
Source:

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

Table 12 – Crowding Information – 2/2

Data Source
Comments:

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

According to the 2011 ACS data, the City of Utica has a population of 61,957 people creating 24,386 households. Of these 24,386 households, 8,625 are single person households. Approximately 48% of these single person households are comprised of adults between the ages of 35 and 64, 40% are elderly individuals 65 or older and only 12% are young adults between the ages of 15 and 34. Furthermore, approximately 63% of the single person households are comprised by individuals who are unemployed, retired or otherwise not in the workforce and the median income for a single person household within the City is approximately \$20,877.00 indicating that the vast majority of single person households are living on limited to no income. Additionally, 37% of the individuals living in a single person household do not have a vehicle.

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

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

This data indicates a number of significant issues with regard to the housing needs of the single person household population. Given that the vast majority of these single person households, both renters and owners, are living in smaller structures between 1-4 units (approximately 71%) and the fact that the cost

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

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

Victims of Domestic Violence or Sexual Assault: The YWCA of the Mohawk Valley provides the most comprehensive domestic violence services to domestic violence victims and their children in the City of Utica. According to their reports, they answered 1,629 calls for help from DV victims on their 24-hour hotline last year. Approximately 50% of these calls originating from the City of Utica. Using this to develop the most conservative estimate, approximately 814 residents of the jurisdiction were victims of domestic violence, dating violence, sexual assault and stalking. And they served 53 women and 43 children in their ESG-funded Domestic Violence shelter located in Utica, and 23 adult Domestic Violence victims and 26 children in their CoC-funded Utica-based transitional housing program for DV victims and their children. However, given that approximately 814 residents of the jurisdiction were victims last year, only 17% (145) sought and received housing assistance. It is likely that at least half actually needed housing assistance, but did not seek it.

Disabled Persons: Approximately 11,000 individuals within the City of Utica are disabled and approximately 90% of the disabled populations are adults over the age of 18. Of that 90%, approximately 1/3 of the population is working and another 1/3 of the population is living below the poverty rate. Furthermore, approximately 4,300 persons are receiving food stamps or SNAP benefits, Basing the estimation off the these statistics, it is likely that there are at least 4,000 individuals with disabilities in need of housing assistance.

What are the most common housing problems?

With regard to the four housing problems identified by the Housing Problems table above, the most significant housing problem within the City of Utica is the cost burden faced by low/moderate income individuals. 65% of the population of the City of Utica has an annual income that is at or below the area median income. Of that 65%, 28% have a housing cost burden that is greater than 50% of their income and another 22% have a housing cost burden that is greater than 30% of their income. This high cost burden for the low/moderate income households within the City of Utica makes it far more difficult for individuals to maintain safe, affordable homes without sacrificing other essential needs. While the City

of Utica is considered to be relatively affordable for individuals and families with incomes at or above the area median income, the aforementioned statistics demonstrate that almost two-thirds of the population of the City of Utica is living on less the area median income and is struggling with high cost burdens in relation to their household income. This is problematic for a number of reasons. First of all, high housing cost burdens are a contributing factor for homelessness. Additionally, individuals and families with high cost burdens are often unable to maintain their household, make essential repairs, and/or engage in necessary upkeep due to the limitation on their expenses. Finally, from a socio-economic perspective, individuals with high cost burdens are under more stress, less able to obtain healthy, natural foods, are less productive, and have more difficulty maintaining a stable household.

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

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

With regard to housing cost burdens, as expected low/moderate income families are substantially more likely to have a high cost burden than households earning higher incomes. 64% all households earning less than 30% area medium income have a housing cost burden that exceed 50% of their household income and another 10% have cost burdens that exceed 30% of the household income. When you begin looking at the characteristics associated with the 0-30% area median income bracket, you discover that 82% of the population reporting a high cost burden are renters, 25% of the total households for the income bracket contain a child under the age of 6 years old and 26% contain at least one person over the age of 62.

For households earning between 30-50% area medium incomes, approximately a quarter of the households have a cost burden greater than 50% of their annual household income and 38% have a cost burden greater than 30% of their income. Looking at the breakdown of this income bracket, 44% have at least one individual over the age of 62 and 21% have a child under the age of 6. Additionally, approximately 70% of the households reporting a high cost burden in this income bracket are renters.

Households earning 50-80% of area medium income are in a better position with regard to cost burden with only 4% reporting a housing cost burden that exceed 50% of their income. However, a quarter of this income bracket does report having a cost burden in excess of 30% of their household income, 92%

of those reporting being homeowners as opposed to renters. 37% of the total income bracket is made up by households with individuals over the age of 62 and 16% of the income bracket are households with children under the age of 6.

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

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

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

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

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

No estimate of at-risk populations provided.

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

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

As discussed above, the households within the City of Utica are significantly cost burdened. This is so especially with those households renting rather than owning. Utica residents, on average, pay 39% of their household income for rent- the highest percentage on our region (nearby Rome resident pay 32% and the Oneida County average is 27%). The effect of high housing cost burdens become especially concerning when analyzed in relation to income level. For households earning between 30-50% area medium incomes, approximately a quarter of the households have a cost burden greater than 50% of their annual household income and 38% have a cost burden greater than 30% of their income. Looking at the breakdown of this income bracket, 44% have at least one individual over the age of 62 and 21% have a child under the age of 6. Additionally, approximately 70% of the households reporting a high cost burden in this income bracket are renters.

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

Discussion

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

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

Introduction

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

In analyzing the households present within the community, as defined by the American Community Survey, it is apparent that households identifying as American Indian/Alaska Native and Pacific Islander do not make up a significant portion of the community population (0.15% and 0.02% of the jurisdiction respectively). Due to the low percentage of these communities within the jurisdictions, the margins of error associated with the estimates available are extremely high. Therefore, these populations have not been included in the analysis. It should also be noted that non-White groups have a smaller sample sizes and data on these groups have a higher margin of error.

0%-30% of Area Median Income

Housing Problems	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	4,205	625	305
White	2,565	540	205
Black / African American	1,000	50	70
Asian	180	10	20
American Indian, Alaska Native	25	0	0
Pacific Islander	0	0	0
Hispanic	390	20	0

Table 13 - Disproportionally Greater Need 0 - 30% AMI

Data Source: 2007-2011 CHAS

*The four housing problems are:

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

30%-50% of Area Median Income

Housing Problems	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	2,565	1,175	0
White	1,670	1,040	0
Black / African American	420	65	0
Asian	89	10	0
American Indian, Alaska Native	0	0	0
Pacific Islander	0	0	0
Hispanic	350	49	0

Table 14 - Disproportionally Greater Need 30 - 50% AMI

Data Source: 2007-2011 CHAS

*The four housing problems are:

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

50%-80% of Area Median Income

Housing Problems	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	1,645	3,190	0
White	1,335	2,690	0
Black / African American	200	395	0
Asian	10	35	0
American Indian, Alaska Native	0	0	0
Pacific Islander	0	0	0
Hispanic	90	40	0

Table 15 - Disproportionally Greater Need 50 - 80% AMI

Data Source: 2007-2011 CHAS

*The four housing problems are:

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

80%-100% of Area Median Income

Housing Problems	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	450	1,795	0
White	370	1,380	0
Black / African American	40	180	0
Asian	15	45	0
American Indian, Alaska Native	4	0	0
Pacific Islander	0	0	0
Hispanic	20	135	0

Table 16 - Disproportionally Greater Need 80 - 100% AMI

Data Source: 2007-2011 CHAS

*The four housing problems are:

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

Discussion

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

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

It is worth noting that while Asian households earning between 0-30% AMI do not meet the definition of a disproportionate, they are nearing disproportionate need demonstrating a likelihood of housing problems at a rate that is 9 percentage points higher than that of white households.

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

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

Introduction

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

It should be noted, that non-White groups have very small sample sizes and data on these groups are therefore more prone to error. Within the jurisdiction as a whole, White households represent approximately 80% of the jurisdiction, significantly influencing the overall trend. Additionally, Households identifying as American Indian/Alaskan Native or Pacific Islander make up a very small portion of the population (.15% and .02% respectively) and, due to the margin of error, have not been analyzed within.

0%-30% of Area Median Income

Severe Housing Problems*	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	3,625	1,205	305
White	2,170	930	205
Black / African American	890	155	70
Asian	155	40	20
American Indian, Alaska Native	25	0	0
Pacific Islander	0	0	0
Hispanic	340	70	0

Table 17 – Severe Housing Problems 0 - 30% AMI

Data Source: 2007-2011 CHAS

*The four severe housing problems are:

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

30%-50% of Area Median Income

Severe Housing Problems*	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	1,095	2,640	0
White	640	2,070	0
Black / African American	255	230	0
Asian	49	50	0
American Indian, Alaska Native	0	0	0
Pacific Islander	0	0	0
Hispanic	125	279	0

Table 18 – Severe Housing Problems 30 - 50% AMI

Data Source: 2007-2011 CHAS

*The four severe housing problems are:

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

50%-80% of Area Median Income

Severe Housing Problems*	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	375	4,460	0
White	255	3,770	0
Black / African American	115	485	0
Asian	0	45	0
American Indian, Alaska Native	0	0	0
Pacific Islander	0	0	0
Hispanic	10	120	0

Table 19 – Severe Housing Problems 50 - 80% AMI

Data Source: 2007-2011 CHAS

*The four severe housing problems are:

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

80%-100% of Area Median Income

Severe Housing Problems*	Has one or more of four housing problems	Has none of the four housing problems	Household has no/negative income, but none of the other housing problems
Jurisdiction as a whole	175	2,065	0
White	115	1,640	0
Black / African American	25	190	0
Asian	15	45	0
American Indian, Alaska Native	0	4	0
Pacific Islander	0	0	0
Hispanic	20	135	0

Table 20 – Severe Housing Problems 80 - 100% AMI

Data Source: 2007-2011 CHAS

*The four severe housing problems are:

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

Discussion

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

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

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

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

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

- Asian households earning 0-30% AMI

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

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

Introduction:

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

In analyzing the households present within the community, as defined by the American Community Survey, it is apparent that households identifying as American Indian/Alaska Native and Pacific Islander do not make up a significant portion of the community population (0.15% and 0.02% of the jurisdiction, respectively). As a result of the low percentage of these communities within the overall jurisdictions, the margins of error associated with the estimates available are extremely high. Therefore, these populations have not been included in the following analysis. It also should be noted that non-White groups have very small sample sizes and data on these groups are therefore more prone to error. Within the jurisdiction as a whole, White households represent approximately 80% of the jurisdiction, significantly influencing the overall trend.

Housing Cost Burden

Housing Cost Burden	<=30%	30-50%	>50%	No / negative income (not computed)
Jurisdiction as a whole	14,835	4,105	4,870	320
White	12,880	3,190	2,935	215
Black / African American	965	425	1,235	80
Asian	180	75	235	20
American Indian, Alaska Native	8	4	25	0
Pacific Islander	4	0	0	0
Hispanic	575	385	385	0

Table 21 – Greater Need: Housing Cost Burdens AMI

Data Source: 2007-2011 CHAS

Discussion:

According to the above definitions, Hispanic households are the most likely to be cost burdened, experiencing a 12-14% greater degree of cost burden than the other racial and ethnic groups analyzed. Hispanic households also experience a greater degree of severe cost burden than white households, with a percentage rate that is 14 percentage points higher than white households. However, Asian and Black/Africa American households have a significantly higher rate of severe cost burden. Both Asian and Black/African American households are experiencing severe cost burden at a rate that is 31 percentage points higher than white households and 17 percentage points higher than Hispanic households. An extremely important note is that all three non-white race/ethnic groups analyzed herein are experiencing high or severe cost burden at a rate that is significantly higher than White households. Black/African American and Asian households are experiencing a cost burden that is 29 percentage points higher than White households. Hispanic households are experiencing a cost burden that is 25 percentage points higher than White households.

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

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

Based upon the analysis above, disproportionate need generally increases as the amount of household income present decreases. With regard to the existence of housing problems, Hispanic households and Black/African American Households both demonstrate a disproportionate need in the 0-30% and 30-50% AMI categories. While Asian households are not technically demonstrating disproportionate need in the 0-30% AMI category, they are bordering on disproportionate need; showing a 9 percentage point greater likelihood of need than White households. Asians do demonstrate a disproportionate need in the 30-50% AMI category, along with Black/African American and Hispanic households. Additionally, Hispanic households also demonstrate a disproportionate need within the 50-80% AMI category, but demonstrate the lowest percentage of need in the 80-100% AMI category. With Hispanic, Black/African American, and Asian households alike, the percentage of need is relatively consistent for households categorized as 0-30% AMI and 30-50% AMI, and substantially decreases for the 50-80% and 80-100% AMI categories.

In looking at disproportionate need as it relates to severe housing problems, the degree of disproportionate need exponentially decreases as income increase, with Black/African American, Asian, and Hispanic households all demonstrating significant need (ranging from 79% -85%) at a disproportionate degree in the 0-30% AMI category. In the 30-50% AMI category, Asian and Black/African American households continue to demonstrate a substantial need (53% and 49% respectively) at a disproportionate degree. In the 50%-80% AMI category, Black/African American households continue to demonstrate a disproportionate degree of need, the level of need drops from 53% in the previous income category to 19%. The only anomaly that occurs within the exponential decrease is within the 80-100% AMI category in which Asian households increase from a 0% need to a 25% need, indicating a disproportionate need amongst Asians within that income category.

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

The most significant need, as identified in section NA-10 above as well in the analysis of disproportionate need, is the need created by cost burdened and severely cost burdened households.

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

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

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

Black/African American households have the largest concentration within the most centrally located census tract within Cornhill, CT# 021500 in which 45.37-74.1% of the households identify as Black/African American. CT# 026400 and CT# 021201 are also located within the Cornhill neighborhood and have 22.6-45.37% of the households identifying as Black/African American. CT# 021101 is located in the western portion of the Downtown District and also has 22.6-45.37% of the households identifying as Black/African American.

Asian households are most concentrated in the eastern portion of the Cornhill neighborhood with CT# 021202 reporting the largest concentration (27.16%-52.24%) of Asian households. CT# 021500 and CT# 026400, both located in the more central and western portions of Cornhill, report the next largest concentration of Asian households (11.99%-27.12%). Also reporting a concentration of Asian households between 11.99% and 27.12% is CT# 020300 which is located in the central portion of the Downtown District.

Hispanic households are fairly consistently located throughout the City of Utica's low/moderate income census tracts, with most census tracts reporting between 7.12% and 23% of the households identifying as Hispanic. The exception is CT# 02083, which is located in the Lower East Utica section of the jurisdiction and reports Hispanic populations making up between 23% and 46.54% of the households within the census tract.

Outside of the census tracts that have been identified as being predominately low/moderate income, only two report having any significant racial or ethnic groups living within them. CT# 36065020705, which is just south of the boundary of the Cornhill neighborhood reports having a 7.12-23% Hispanic population and CT# 36065021702, which is located in lower South Utica, reports having a 6.85-22.6% Black/African American Population.

NA-35 Public Housing – 91.205(b)

Introduction

Totals in Use

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

Table 22 - Public Housing by Program Type

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

Data Source: PIC (PIH Information Center)

Characteristics of Residents

	Program Type								
	Certificate	Mod-Rehab	Public Housing	Vouchers			Special Purpose Voucher		
				Total	Project - based	Tenant - based	Veterans Affairs Supportive Housing	Family Unification Program	
Average Annual Income	0	0	12,469	11,585	0	11,585	0	0	
Average length of stay	0	0	7	7	0	7	0	0	
Average Household size	0	0	2	2	0	2	0	0	

	Program Type							
	Certificate	Mod-Rehab	Public Housing	Vouchers			Special Purpose Voucher	
				Total	Project - based	Tenant - based	Veterans Affairs Supportive Housing	Family Unification Program
# Homeless at admission	0	0	0	0	0	0	0	0
# of Elderly Program Participants (>62)	0	0	243	41	0	41	0	0
# of Disabled Families	0	0	198	46	0	46	0	0
# of Families requesting accessibility features	0	0	815	153	0	153	0	0
# of HIV/AIDS program participants	0	0	0	0	0	0	0	0
# of DV victims	0	0	0	0	0	0	0	0

Table 23 – Characteristics of Public Housing Residents by Program Type

Data Source: PIC (PIH Information Center)

Race of Residents

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

Program Type									
Race	Certificate	Mod-Rehab	Public Housing	Vouchers					
				Total	Project - based	Tenant - based	Special Purpose Voucher		
							Veterans Affairs Supportive Housing	Family Unification Program	Disabled *
American Indian/Alaska Native	0	0	0	0	0	0	0	0	0
Pacific Islander	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0	0

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

Table 24 – Race of Public Housing Residents by Program Type

Data Source: PIC (PIH Information Center)

Ethnicity of Residents

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

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

Table 25 – Ethnicity of Public Housing Residents by Program Type

Data Source: PIC (PIH Information Center)

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

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

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

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

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

Across all properties within its system, UMHA reports that there are 76 families on the waiting list for public housing. Of those, 74 or 98% fall into the extremely low income category with 1 family each in the very low and low income categories. Of the families on the waiting list, 27 are actual families with children while the bulk of those on the list are single. A very small percentage (3% or 2 families) have a disability in the family and an even smaller percentage (1% or 1 family) is elderly. Racially, the families on the list are fairly evenly divided between Caucasian and African-American (47% and 46%, respectively). Due presumably to the large number of single families on the waiting list, 74% of the people on the list desire a 1 bedroom unit with 15% looking for a 2 bedroom unit and 8% looking for a 3 bedroom.

The waiting lists include the following developments:

- Perretta Twin Towers – 108 units - Low Income Public Housing (LIPH) – Senior/Disabled
- Marino-Ruggerio Apartments 50 units -LIPH – Senior/Disabled

- Gillmore Village – 190 units – LIPH Multi-Family
- Duplex Homes – 10 units - LIPH Multi-Family
- F. X. Matts – 65 units - LIPH Multi-Family
- Adrean Terrace – 200 units - LIPH Multi-Family
- N.D. Peters Manor – 92 units - LIPH Multi-Family
- Humphrey Gardens – 108 units - LIPH Multi-Family
- 819 Hamilton Street -9 units - LIPH
- Chancellor Apartments – 93 units- Project-Based Section 8 Voucher NYS Senior-Disabled Public Housing
- Steuben Village HOPE VI Mixed Finance Development – HOPE VI Mixed Finance – 49 Low-Income Housing Tax Credit (LIHTC) units (25 public housing)
- Rutgers Manor HOPE VI Mixed Finance Development HOPE VI Mixed Finance – 33 Low-Income Housing Tax Credit (LIHTC) units (21 public housing)

The UMHA maintains waiting lists for each of the above properties separately and includes that data in its PHA Agency Five Year Plan for 2015-2019. The data reflects a single point of time and does not include cumulative applicants. The information is current as of August 2014.

The Municipal Housing Authority of the City of Utica New York UMHA) owns, manages, and supervises a total of 1,007 units. Of that number, 914 are public housing units (878 ACC units + 36 HOPE VI Stand Alone Tax Credit Units) and 93 are Project-Based Section 8 (New York State Public Housing). In 2015, 12 new public housing units will be completed, bringing the total to 890. The UMHA has available 175 Section 8 (Housing Choice) Voucher units.

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

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

Discussion

NA-40 Homeless Needs Assessment – 91.205(c)

Introduction:

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

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

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

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

time, and temporary employment for those without much education has been dramatic. Military service, a way out of poverty and into permanent housing for many young people in the past, is no longer an easily accessible option for those who have not graduated from high school or completed their GED or for those with a criminal offense on their record.

Homeless Needs Assessment

Population	Estimate the # of persons experiencing homelessness on a given night		Estimate the # experiencing homelessness each year	Estimate the # becoming homeless each year	Estimate the # exiting homelessness each year	Estimate the # of days persons experience homelessness
	Sheltered	Unsheltered				
Persons in Households with Adult(s) and Child(ren)	0	32	243	202	200	60
Persons in Households with Only Children	0	2	20	18	16	130
Persons in Households with Only Adults	9	61	675	650	630	30
Chronically Homeless Individuals	4	24	80	70	65	90
Chronically Homeless Families	0	1	15	12	10	90
Veterans	4	1	60	45	45	21
Unaccompanied Child	0	4	80	65	60	70
Persons with HIV	0	4	15	12	10	30

Table 26 - Homeless Needs Assessment

Data Source Comments: Data Sources: Estimates for yearly totals and days are from CoC Chair who used administrative data from Emergency Housing and Transitional Housing Programs in Utica.

Indicate if the homeless population is: Has No Rural Homeless

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

N/A

Nature and Extent of Homelessness: (Optional)

Race:	Sheltered:	Unsheltered (optional)
White	54	6
Black or African American	41	3
Asian	0	0
American Indian or Alaska Native	0	0
Pacific Islander	0	0
Ethnicity:	Sheltered:	Unsheltered (optional)
Hispanic	22	0
Not Hispanic	73	9

Data Source
Comments:

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

Twelve (9%) of the 142 homeless persons surveyed by the Continuum of Care indicated that they were veterans. We counted nine male and three female veterans. The Rescue Mission of Utica (verbal communication with Hank Visalli, 3/19/2007) reports that since our 1/24/2007 point-in-time census, several Iraqi war veterans with indications of PTSD have come to the shelter and reported that they are homeless due to family break-up. We initiated a Homeless Veterans Task Group under the CoC umbrella in 2007 and added a new employment program for homeless vets with an aggressive outreach segment that includes frequent visits to local shelters in Utica. This program, working in conjunction with the VA Homeless Outreach Program in Utica has identified and served over 50 homeless veterans in the past seven months. Many, unfortunately, have “bad paper” and are not eligible for most VA services.

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

Black and African-Americans comprise 14% of Utica’s population (Census 2000), but account for over a third (36%) of the homeless population. However, if adjusted for household income, Utica’s poor black population appears to become homeless at about the same rate as poor whites. Hispanics represented 5.8% of the city’s population in 2000 but this proportion has been growing since our last census.

Describe the Nature and Extent of Unsheltered and Sheltered Homelessness.

Unsheltered - In 2011 we counted 22 unsheltered homeless persons. In 2013, we counted 17. This represents a 23% decrease in unsheltered homeless persons. The primary reason for this decrease was a reduction in the number of unsheltered homeless families with children we attribute to two key factors:

1) The Oneida County Department of Social Services reinforced their homeless intake and assessment staff and they've greatly improved their services to unsheltered homeless persons and families. When our shelters were full as they were on the day of the count, they did not hesitate to provide emergency housing at area motels.

Sheltered - From 2012 to 2013 there was an increase in households in emergency housing and a decrease in households in transitional housing. The number of persons in emergency housing increased and the number of persons in transitional housing remained the same. The net result was an overall increase in sheltered homeless persons from 2012 to 2013. The primary reasons for this are: 1.) The economic recovery has not hit our region and there are many formerly employed persons who have lost their housing and/or are struggling to find work and, 2.) The HPRP Program funded by the Recovery Act has expired and we do not have the resources to rapidly re-house households or to prevent homelessness that kept our homeless numbers down in 2011 and 2012.

Discussion:

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

Introduction:

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

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

Describe the characteristics of special needs populations in your community:

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

Elderly and Frail Elderly: 28% of households within the jurisdiction are estimated to have at least one elderly individual. 52% of those households are single person elderly households. Another 15% of are households in which an elderly individual is caring for one or more grandchild(ren) under the age of 18 with 40% reported as living in poverty. Elderly individuals living below the poverty level make up 12% of the total population living in poverty with 67% between the ages of 60 and 74, 23% between 75 and 84 and 11% over the age of 85. Looking at the elderly population that is also disabled 34% are between the ages of 65 and 74. That percentage grows to 49% (of 5,011) when looking at the population over the age of 75.

Persons with Mental, Physical, and/or Developmental Disabilities: 18% of the population of the City having some form of physical or mental disability. 90% of the population with a disability is over the age of 18, with 34% being elderly (as discussed above). Within the population of disabled individuals, 34% are reported as being non-white individuals. For individuals reporting a disability between the ages of 18 and 64, 12% have hearing difficulty, 13% have vision difficulty, 50% have cognitive difficulty, 53% have ambulatory difficulty, 21% have self-care difficulty and 42% have independent living difficulty. (The

disabled population over the age of 65 is discussed above.) With regard to poverty, disabled adults between 18 and 34 report 48% living in poverty, between 35 and 65 report 44% living in poverty. When looking at the disabled elderly, 19% of those over the age of 65 live below the poverty level

Victims of Domestic Violence: According to the YWCA of the Mohawk Valley, which provides comprehensive domestic violence services to domestic violence victims and their children in the City of Utica, approximately 814 calls originating from the City of Utica were answered on their 24-hour hotline last year. Those calling were victims of domestic violence, dating violence, sexual assault and stalking. And 53 women and 43 children were served in their domestic violence shelter, and 23 adult domestic violence victims (26 children) were served in their transitional housing program for domestic violence victims and their children. These statistics indicate that the vast majority of victims are women and children trying to escape abusive households or situations.

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

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

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

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

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

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

According to the 2013-2017 Oneida County Health Assessment, Oneida County is far below the HIV case rate when compared with the New York State case rate. When analyzing the case rate per 100,000, Oneida County come in at 5.2% as opposed to New York State which is identified at 21.6%. Additionally, from 2009 to 2011, Oneida County saw a decrease in AIDS cases from 13 to 6 and a decrease in HIV cases from 22 to 12, As a result of the low incidents of HIV/AIDS within the area, little to no data exists with regard to the population's characteristics.

Discussion:

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

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

Describe the jurisdiction’s need for Public Facilities:

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

While these are eligible activities with CDBG funds, the City of Utica foresees a minimal need for CDBG for this type of activity during the span of the 2015-2019 Consolidated Plan. In year one, the City of Utica has allocated a scant \$60,000 for seed money for renovations to the Veteran’s Outreach Center to accommodate a consolidation of youth boxing programs. The City also allocated \$48,000 to the construction of Kemble Park which will leverage a \$500,000 grant from the State of New York for this project. These two allocations represent less than 5% of the City’s CDBG entitlement (including program income) for the 2015-2016 program year.

How were these needs determined?

The limited need to use CDBG funds for public facilities was determined through an extensive public outreach/citizen participation effort described in other parts of this Plan. Additionally, the lack of a need was identified through the City’s recently-adopted master plan (2011), various neighborhood and district plans and the City’s Capital Plan.

Describe the jurisdiction’s need for Public Improvements:

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

Historically, the City of Utica traditionally allocates a fair amount of its total CDBG entitlement to the reconstruction of streets; this trend is likely to continue given the current state of repairs of the City’s streets and infrastructure. Over the past several years, in accordance with the ‘complete streets’ theory espoused by the City’s recently-adopted master plan, the City has begun allocating CDBG funds to the replacement of sidewalks; this is likely to continue through the 2015-2019 Consolidated Plan period as well.

How were these needs determined?

Again, these needs were determined based on an extensive public outreach/citizen participation process that the City employed this year in preparation for the 2015-2019 Consolidated Plan and as part of its Community Needs Assessment. The condition of the City’s streets and infrastructure are frequently raised as one of the most pressing issues for the general public. The City’s Engineering Department

rates each City throughout the City annually and the highest ranking streets are listed for improvement; those on the list for improvements that are primarily residential and located in an area primarily low- to moderate-income then become eligible for CDBG funding.

Describe the jurisdiction's need for Public Services:

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

The City of Utica annually provides support to its three senior centers, along with several of not-for-profits that provide activities to income-eligible youth throughout the City of Utica; this is likely to continue through the duration of the 2015-2019 Consolidated Plan period. Under Mayor Palmieri, the amount of CDBG dollars allocated to public services has been cut nearly in half, to about 8% of the City's entitlement.

In light of constantly shrinking CDBG dollars at the federal level, it is imperative that efforts to eliminate duplication of services continue. Partnerships, greater cooperation and even consolidation must be considered so as to maximize the use of CDBG funds.

How were these needs determined?

The need for public services is generally most effectively provided through the annual applications for CDBG funds that the City announces each year. The community roundtables held this year as part of the City's Community Needs Assessment, attended by dozens of public service agencies and organizations, also provided the City with valuable insight into the needs in this realm.

Housing Market Analysis

MA-05 Overview

Housing Market Analysis Overview:

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

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

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

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

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

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

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

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

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

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

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

Introduction

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

All residential properties by number of units

Property Type	Number	%
1-unit detached structure	11,579	41%
1-unit, attached structure	520	2%
2-4 units	11,712	41%
5-19 units	2,030	7%
20 or more units	2,462	9%
Mobile Home, boat, RV, van, etc	145	1%
Total	28,448	100%

Table 27 – Residential Properties by Unit Number

Data Source: 2007-2011 ACS

Unit Size by Tenure

	Owners		Renters	
	Number	%	Number	%
No bedroom	28	0%	316	3%
1 bedroom	199	2%	3,376	27%
2 bedrooms	1,979	17%	3,361	27%
3 or more bedrooms	9,774	82%	5,353	43%
Total	11,980	101%	12,406	100%

Table 28 – Unit Size by Tenure

Data Source: 2007-2011 ACS

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

Public Housing Authority Units: There are a total of 1,007 units provided through the Utica Municipal Housing Authority. 914 are public housing units (878 ACC units + 36 HOPE VI Stand Alone Tax Credit Units) and 93 are Project-Based Section 8 (New York State Public Housing). In 2015, 12 new public housing units will be completed, bringing the total to 890. The UMHA has available 175 Section 8 (Housing Choice) Voucher units. With regard to physical units, of which there are 895, 410 are 1 bedroom, 274 are 2 bedrooms, 164 are 3 bedrooms, 45 are 4 bedrooms and 2 are 5 or more bedroom units.

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

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

Johnson Park Apartments: Through the use of HOME funds, New York State funds, and Private Investment the Johnson Park Center maintains 21 rental units targeted at extremely low income women and families who suffer from mental illness, addiction and/or have been chronically homeless. 3 units are efficiency units, 9 are 1 bedroom units, 4 are 2 bedroom units, and 5 are three bedroom units. In addition to providing safe and affordable housing, Johnson Park Center also provides support services to aid with mental health problems, addiction problems, and prevention of future homelessness.

West Utica Homeownership Program: Through City of Utica HOME, New York State HOME, New York State AHC, and private investment, 7 affordable homeowner units were created in 2012 through the West Utica Homeownership Program. 6 are 4 bedroom units and 1 is a three bedroom accessible unit. All 7 units were sold to homeowners at or below 80% AMI with the accessible unit targeted to a family with a disabled member of the household. All units are required to remain available for low/moderate income buyers for 15 years.

Habitat for Humanity: Through City of Utica HOME Funds and private investment, three single family homeowner units were developed and sold to families with income levels at or below 80% AMI. These three housing units will remain affordable units for at least 10 years.

Oneida Homes: Through the use of City of Utica HOME funds, other federal funds, and private investment, 40 homebuyer units were developed on previously vacant lots within the Cornhill neighborhood. The units are targeted at homebuyers at or below 80% AMI and are required to remain affordable units until at least 2018.

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

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

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

While there are a significant number of affordable housing units available within the City of Utica, there is still a need for more units. Although there are 1,315 physical units of affordable housing that are required to be so due to the federal and state funds they received, there are approximately 8,500 households within the City of Utica living below the area median income. There are private developers who do maintain low rents, as well as Section 8 and other rental assistance programs to aid with rental costs. However, the rental assistance programs all report 6-12 month waiting lists for vouchers and many of the privately owned units are substandard and unsafe.

Describe the need for specific types of housing:

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

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

Discussion

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

Introduction

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

Cost of Housing

	Base Year: 2000	Most Recent Year: 2011	% Change
Median Home Value	57,800	87,200	51%
Median Contract Rent	352	481	37%

Table 29 – Cost of Housing

Data Source: 2000 Census (Base Year), 2007-2011 ACS (Most Recent Year)

Rent Paid	Number	%
Less than \$500	6,998	56.4%
\$500-999	4,963	40.0%
\$1,000-1,499	258	2.1%
\$1,500-1,999	73	0.6%
\$2,000 or more	114	0.9%
Total	12,406	100.0%

Table 30 - Rent Paid

Data Source: 2007-2011 ACS

Housing Affordability

% Units affordable to Households earning	Renter	Owner
30% HAMFI	1,100	No Data
50% HAMFI	4,875	1,765
80% HAMFI	9,805	3,940
100% HAMFI	No Data	5,330
Total	15,780	11,035

Table 31 – Housing Affordability

Data Source: 2007-2011 CHAS

Monthly Rent

Monthly Rent (\$)	Efficiency (no bedroom)	1 Bedroom	2 Bedroom	3 Bedroom	4 Bedroom
Fair Market Rent	563	573	729	966	1,084
High HOME Rent	601	612	779	1,009	1,106
Low HOME Rent	540	578	695	802	895

Table 32 – Monthly Rent

Data Source: HUD FMR and HOME Rents

Is there sufficient housing for households at all income levels?

There is not sufficient housing at all income levels. In analyzing the Housing Affordability Table above against the table identifying the total households in each income bracket from the Housing Needs Assessment above, it is clear that there is insufficient housing available for the extremely low and low income households within the jurisdiction. There are estimated 5,005 households earning between 0-30% AMI, yet there are only 1,100 units of affordable rental housing for those earning 30% AMI. For people in the 30-80% AMI bracket there are only 4,875 units of affordable housing despite there being 8,675 households.

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

Between the base year and the current year the value of ownership units have increased by approximately \$40,000.00 and median rent has increased by almost \$150. With regard to homeownership units, this is a substantial increase and therefore results in homeownership units being less affordable. With regard to rental units, this is a relatively modest increase in the base contract rents, however this increase nonetheless has a negative effect on the affordability of units and contributes to the substantial issue related to cost burden. Furthermore, with the advent of Nano-Utica and the increase in high paying tech jobs coming to the area, it is projected that median rental costs will substantially increase and therefore units will become increasingly less affordable.

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

High HOME Rents are actually higher than Fair Market Rents (by \$50-\$100 depending on unit size) and Low HOME Rents are equal to or slightly lower than Fair Market Rents (by \$50-\$100). Given this fact and the problem with regard to cost burden and severe cost burden amongst the lowest income renters, rental development projects need to be substantially more focused on aiming at lower rent costs and more Low HOME Units. Furthermore, by increasing requirements for providing leveraged funding

sources and tenant based subsidy sources, more truly affordable units can be developed. Low Income Housing Tax Credit Project are especially beneficial for resolving this issue as they generally provide substantial funding outside of HOME and target to lower income households.

Discussion

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

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

Introduction

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

Definitions

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

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

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

Condition of Units

Condition of Units	Owner-Occupied		Renter-Occupied	
	Number	%	Number	%
With one selected Condition	2,776	23%	5,785	47%
With two selected Conditions	68	1%	375	3%
With three selected Conditions	0	0%	26	0%
With four selected Conditions	0	0%	0	0%
No selected Conditions	9,136	76%	6,220	50%
Total	11,980	100%	12,406	100%

Table 33 - Condition of Units

Data Source: 2007-2011 ACS

Year Unit Built

Year Unit Built	Owner-Occupied		Renter-Occupied	
	Number	%	Number	%
2000 or later	41	0%	260	2%
1980-1999	420	4%	895	7%
1950-1979	4,758	40%	3,562	29%
Before 1950	6,761	56%	7,689	62%
Total	11,980	100%	12,406	100%

Table 34 – Year Unit Built

Data Source: 2007-2011 CHAS

Risk of Lead-Based Paint Hazard

Risk of Lead-Based Paint Hazard	Owner-Occupied		Renter-Occupied	
	Number	%	Number	%
Total Number of Units Built Before 1980	11,519	96%	11,251	91%
Housing Units build before 1980 with children present	100	1%	225	2%

Table 35 – Risk of Lead-Based Paint

Data Source: 2007-2011 ACS (Total Units) 2007-2011 CHAS (Units with Children present)

Vacant Units

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

Table 36 - Vacant Units

Data Source: 2005-2009 CHAS

Need for Owner and Rental Rehabilitation

There are four housing conditions analyzed when determining whether or not a household is experiencing a housing problem: (1) Housing Unit lacks complete kitchen facilities; (2) Housing Unit lacks complete plumbing facilities; (3) Overcrowding exists within the housing unit (more than one person per room); and/or (4) Cost burden is greater than 30% of the household income. In reviewing the data relative to the need for rehabilitation, it is apparent that there is a substantial need for the rehabilitation of units within the jurisdiction. This need is greatest within the rental housing area of the jurisdiction, in which 47% of occupants are reported as having one of the conditions present. With regard to homeowners, 23% of the households report having at least one condition present. As demonstrated by the attached map, the issue is widespread throughout the City, with a significant need in both West Utica and the Cornhill neighborhood.

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

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

Discussion

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

Introduction

The Utica Municipal Housing Authority is one of the top performing housing authorities and is constantly moving towards improving their housing stock and the quality of life for their residence. The UMHA is committed to investing in its properties and modernizing their portfolio.

They anticipate continued major reductions in the HUD Capital Fund Program which provides funding for modernization improvements. A significant amount of funding is needed to upgrade their rental apartment units. In response to these challenges, the UMHA is developing a strategy to compensate for the loss of federal funding. The UMHA is exploring the feasibility of submitting applications to HUD to convert public housing properties into mixed finance developments and applying for Low Income Housing Tax Credits to finance property improvements at these sites. Additionally, UMHA is working hard to improve maintenance at their facilities, increase and improve security measures, and strive to provide better customer service.

Totals Number of Units

	Program Type								
	Certificate	Mod-Rehab	Public Housing	Vouchers					
				Total	Project -based	Tenant -based	Special Purpose Voucher		
						Veterans Affairs Supportive Housing	Family Unification Program	Disabled *	
# of units vouchers available			871	175			0	0	0
# of accessible units									
*includes Non-Elderly Disabled, Mainstream One-Year, Mainstream Five-year, and Nursing Home Transition									

Table 37 – Total Number of Units by Program Type

Data Source: PIC (PIH Information Center)

Describe the supply of public housing developments:

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

Reduced HUD Funding For Capital Expenses

Capital funding for Public Housing Authorities has been drastically reduced in recent years, with an allocation to the UMHA in 2015 of just over \$1.3 million, compared to nearly \$2.4 million annually a decade ago. The UMHA estimates its current overall capital need at about \$70 million—an average of about \$70,000 per unit. The UMHA currently addresses only life-safety and emergency capital repairs with the funding it receives, and is unable to replace many antiquated interiors, perform curb appeal improvements, or undertake the level of preventative maintenance required to keep capital repair needs from growing substantially each year.

Existing Conditions of UMHA's Housing Stock

HUD's Real Estate Assessment Center (REAC) conducts physical property inspections of properties that are owned, insured or subsidized by HUD, ***including public housing*** and multifamily assisted housing to ensure that families living in HUD assisted housing have housing that is decent, safe, sanitary and in good repair.

REAC Inspections are performed using an inspection code known as the Uniform Physical Conditions Standards (UPCS). This is a code that is used to determine if the existing components on a property or in a building work as they are intended. The REAC physical inspection emphasizes health and safety (H & S) deficiencies because H & S deficiencies are crucial to the well-being of residents.

Applying HUD's uniform, consistent standards, REAC inspects a property and uses the results to develop a score for the property's physical condition. When a housing authority receives an overall score below 70, HUD will generally require it to develop a formal improvement plan, and when an authority receives an overall score below 60, HUD will designate it as "troubled" and refer it to the Troubled Agency Recovery Center. Conversely, when a housing authority receives an overall score of 90 or above, it may be designated as a "high performer." The purpose of the thresholds for both multifamily and public housing is to allow HUD to concentrate its monitoring resources on properties with lower scores. Multifamily properties scoring below 60 receive structured administrative oversight from either HUD field offices or the Departmental Enforcement Center (DEC).

The UMHA has consistently scored very well in recent years on the physical inspections conducted by HUD's Real Estate Assessment Center (REAC), with the ***current*** average REAC physical inspection score for all of their facilities above 90, placing the Housing Authority into the high performer category.

Public Housing Condition

Public Housing Development	Average Inspection Score

Table 38 - Public Housing Condition

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

According to the Utica Municipal Housing Authority’s own PHA Agency Plan for Fiscal Year 2015 and Five Year Agency Plan for Fiscal Years 2015-2019, HUD Capital Funds are used to maintain, repair, improve and modernize public housing properties. More than 70% of the UMHA’s housing stock is more than 40-years old. And yet, Capital Funds have been cut year after year, threatening the integrity of an important public asset, and hindering development of new housing suited to the needs of America’s changing families in thriving, mixed-income communities. Significant modernization is needed to preserve these important housing assets for the future. There is a growing backlog of needed repairs and upgrades which if not addressed soon will result in higher maintenance costs and possible loss of units due to disrepair. Federal funding for the Capital Fund Program has been cut by more than 40 percent since 2008.

In this light, one of the major priorities for FY 2015 includes preserving and continuing to make improvements to the housing authority’s public housing stock. To that end, the UMHA stated within their Plan that Federal subsidies have provided the major source of funding for rehabilitation of the UMHA public housing stock. For decades, this financing has continued to be significantly cut. Between 2001 and 2011, there has been a 35 percent decrease in federal funding. As a result, vital projects which prevent the deterioration of building systems have been delayed, which has, in turn, has created an ever increasing backlog of capital projects. If these capital needs are not addressed on a timely basis, rehabilitation costs will increase in the future, putting into jeopardy the long-term viability of their projects.

The UMHA is committed to investing in its properties and modernizing their portfolio. They anticipate continued major reductions in the HUD Capital Fund Program which provides funding for modernization improvements. A significant amount of funding is needed to upgrade their rental apartment units. In response to these challenges, the UMHA is developing a strategy to compensate for the loss of federal funding. The UMHA is exploring the feasibility of submitting applications to HUD to convert public housing properties into mixed finance developments and applying for Low Income Housing Tax Credits to finance property improvements at these sites. They are actively seeking public and private partners to provide additional funding for this initiative. In addition, the UMHA is exploring the possibility of participating in the HUD Rental Demonstration (RAD) program. The RAD program involves the conversion of a public housing property to a form of project-based Section 8-type voucher program. It promotes the ability to leverage cash flow to fund near and long-term rehabilitation needs of housing developments. The Section 8 Project-Based program has not been significantly impacted by funding cuts compared to public housing programs.

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

Priority One: Enhance the quality and delivery of maintenance services. A major concern expressed at resident meetings has been the lack of timeliness in completing repairs, especially high-priority repairs. In order to improve the quality of life of residents, it is important that UMHA provide maintenance and repair services to their developments in a more expeditious manner. Through management improvements, the UMHA has significantly reduced the number of open maintenance and repair work orders during the past year. The UMHA will explore methods to increase unit turnaround time, continue to automate work order processing, provide customer follow-up monitoring of work orders, enhance preventive maintenance activities, reconfigure senior maintenance positions, and upgrade the training of maintenance staff.

Priority Two: Continue to implement security improvements and strategies such as surveillance cameras and resident crime prevention training to improve safety and reduce crime. The safety of residents, employees, and visitors is always a major priority of the UMHA. Security is a cornerstone of a community's stability. Investing in security improvements like cameras is an important first step to ensuring the safety of our residents. However, without the trust and cooperation of residents as well as effective community collaborations with the police department, security improvements will have limited success to reduce crime and improve safety.

Priority Three: Improved customer service. As a result of a period of self-reflection as well as dialogue and communication amongst staff, residents, and community collaborators, the Housing Authority adopted and implemented a "QUALITY OF LIFE" management philosophy and approach which, quite simply, is a people- focused operational approach to managing their developments and administering their programs. This administrative philosophy is predicated upon certain core principles:

- COMMUNICATION
- VISIBILITY
- INTERACTION
- RESPECT

This enhanced proactive management style has benefitted their residents and program recipients by encouraging and necessitating on-going dialogue, communication, interaction, and collaboration.

Discussion:

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

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

Introduction

The City of Utica is slated to receive \$197,507 in Emergency Solutions Grant funding during the 2015-2016 program year rapidly re-house homeless persons and families and to prevent homelessness for persons and families at imminent risk. With this funding, the City of Utica has proposed assisting seven (7) programs administered by five (5) sub-recipient agencies and designed to assist homeless persons and families and those at imminent risk of becoming homeless. Given the very nominal amount of funding that the City receives, spread among six different programs, the impact of the funding is limited.

The programs/activities to be funded with the City's ESG entitlement include: Hall House (\$39,699) to operate a shelter for female victims of domestic violence and their children.

Johnson Park Center (\$21,621) to continue funding for the emergency/transitional housing program for females who may have been ex-offenders or substance abusers and the chronically homeless.

New Horizons (\$17,191) to operate a 14-bed transitional housing facility for females between 16 and 21 that are unable to return to their homes.

Evelyn's House (\$14,532) to operate a 7-bed shelter for pregnant and parenting teenage mothers.

John Bosco House (\$17,191) to operate a 6-bed transitional housing facility for homeless young, single men.

Johnson Park Center (\$53,168) to operate the rapid-rehousing and homelessness prevention portion of the program. This component of the City of Utica's Emergency Solutions Grant complies with the minimum 40% rapid-rehousing requirement; JPC will operate a security deposit program which will help those individuals and families at imminent risk of becoming homeless with assistance in securing new housing.

Utica Center for Development (13,292) to operate their rapid re-housing program. This is the first year that the center for development has applied for funding.

Central New York Services (\$6,000) for HMIS purposes

Additionally, the City intends to fully utilize the HUD-regulated maximum 7.5% administrative cap which totals \$14,813 for the 2015-2016 program year.

The City will continue to address homelessness prevention within the City of Utica by providing \$53,168 for Johnson Park Center’s Rapid Rehousing Program. The City is working with Johnson Park Center, to administer and implement use of these funds. In addition to Johnson Park, the Utica Center for Development will also administer and implement use of Rapid Rehousing funds in the amount \$13,292 specifically for homeless veterans and their families.

Facilities and Housing Targeted to Homeless Households

	Emergency Shelter Beds		Transitional Housing Beds	Permanent Supportive Housing Beds	
	Year Round Beds (Current & New)	Voucher / Seasonal / Overflow Beds	Current & New	Current & New	Under Development
Households with Adult(s) and Child(ren)	25	0	31	228	0
Households with Only Adults	57	5	17	297	0
Chronically Homeless Households	0	0	0	16	0
Veterans	0	0	0	15	0
Unaccompanied Youth	0	0	0	0	0

Table 39 - Facilities and Housing Targeted to Homeless Households

Data Source Comments:

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

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

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

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

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

Homeless Veterans - Our CoC held its first "Stand Down" for homeless veterans in Utica in 2006 and another one in 2007. Stand Downs are one-day events with extensive publicity designed to highlight the issue of homelessness among our veteran population and to bring together an array of service providers to provide instant, on-site services to homeless vets. Also, our CoC Chair did research on veteran's behavioral health issues related to homelessness and has presented this work at community meetings to raise awareness and encourage local providers to reach out and serve veterans who return to our CoC and experience mental health, substance abuse, and family problems that can result in homelessness.

Chronically homeless persons with a serious mental health disability:

We worked actively this past year to assess and address the need for supportive housing for chronically homeless persons with a serious mental health disability in our CoC. Unmet housing needs for this population have grown dramatically in the past three years as our stock of affordable SRO housing has declined in the community. Our efforts resulted in a HOME grant from the City of Utica to rehabilitate two properties and provide 8 units of permanent supportive housing to serve this population.

Youth supportive housing:

Youth age 16-21 is a significant portion of our local homeless population and are a particular challenge to locate and serve because they often make efforts to avoid local service providers, even when homeless. In the past year, we have opened the first supportive housing program (Evelyn's House) for homeless pregnant and parenting teens in Utica, expanded an existing supportive housing program for single female youth in Utica- adding 6 new beds.

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

Introduction

During the City of Utica's Community Needs Assessment roundtable discussions, a number of various supportive housing needs and services were identified. This section of the City of Utica's 2015 – 2019 Consolidated Plan briefly discusses those needs.

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

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

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

One of the roundtable discussions during the City's Community Needs Assessment focused on housing and a number of the participants identified housing for the mentally ill as being especially necessary. A recent rally at the State Capitol highlighted this need statewide, to the point that the New York Association of Psychiatric Rehabilitation Services lists this need as its top legislative priority for 2015. The rally called for Governor Cuomo to invest \$82 million for supportive housing.

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

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

The most promising program on the horizon to assist individuals suffering from mental illness is being provided by the State of New York. Hospitals are preparing to submit proposals by May 2015 to divide \$8 billion that the State of New York will invest in health care system transformation over the next five

years. The money is the result of a Medicaid waiver that gives the State savings from Medicaid reform. A significant portion of that \$8 billion, \$6.42 billion, is already slated to go for incentive payments to so-called safety net hospitals that undertake projects to reduce avoidable hospital admissions by 25% in the next 5 years.

Additionally, in 2014, Madison-Oneida BOCES was awarded \$97,750 in federal funds to provide mental health “first aid” training to hundreds of local education and law enforcement professionals, which will help them recognize and respond to signs of mental illness in local teens, including those in Utica. While not directly associated with housing, recognizing the problem is the first step in ensuring that their housing needs are addressed.

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

N/A

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

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

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

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

Negative Effects of Public Policies on Affordable Housing and Residential Investment

Availability of Affordable and Suitable Housing

There are 200 families on the waiting list for Section 8 housing in Utica. These families are forced to rent substandard housing while waiting for assistance. Additionally, there are 5,005 households described as earning less than 30% AMI but only approximately 1,000 units that are affordable for such extremely low income populations.

Gentrification

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

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

Introduction

In considering priorities for allocation of CDBG funds to address non-housing community development needs, the City of Utica is cognizant of the need to prepare its workforce to impending employment opportunities resulting from the State’s investment in Nano Utica. This section describes the City’s workforce, analyzes current employment trends and sets forth the basis for allocation of CDBG funds during the 2015-2019 Consolidated Plan period.

Economic Development Market Analysis

Business Activity

Business by Sector	Number of Workers	Number of Jobs	Share of Workers %	Share of Jobs %	Jobs less workers %
Agriculture, Mining, Oil & Gas Extraction	98	105	1	0	-1
Arts, Entertainment, Accommodations	1,824	2,134	11	8	-3
Construction	402	623	2	2	0
Education and Health Care Services	5,383	11,807	33	46	13
Finance, Insurance, and Real Estate	1,220	1,634	7	6	-1
Information	349	346	2	1	-1
Manufacturing	2,170	2,692	13	10	-3
Other Services	684	866	4	3	-1
Professional, Scientific, Management Services	907	1,697	6	7	1
Public Administration	0	0	0	0	0
Retail Trade	2,106	2,555	13	10	-3
Transportation and Warehousing	557	590	3	2	-1
Wholesale Trade	585	818	4	3	-1
Total	16,285	25,867	--	--	--

Table 40 - Business Activity

Data Source: 2007-2011 ACS (Workers), 2011 Longitudinal Employer-Household Dynamics (Jobs)

Labor Force

Total Population in the Civilian Labor Force	27,845
Civilian Employed Population 16 years and over	24,478
Unemployment Rate	12.09
Unemployment Rate for Ages 16-24	29.35
Unemployment Rate for Ages 25-65	7.22

Table 41 - Labor Force

Data Source: 2007-2011 ACS

Occupations by Sector	Number of People
Management, business and financial	3,987
Farming, fisheries and forestry occupations	1,236
Service	3,572
Sales and office	6,394
Construction, extraction, maintenance and repair	1,515
Production, transportation and material moving	1,564

Table 42 – Occupations by Sector

Data Source: 2007-2011 ACS

Travel Time

Travel Time	Number	Percentage
< 30 Minutes	19,667	85%
30-59 Minutes	2,540	11%
60 or More Minutes	889	4%
Total	23,096	100%

Table 43 - Travel Time

Data Source: 2007-2011 ACS

Education:

Educational Attainment by Employment Status (Population 16 and Older)

Educational Attainment	In Labor Force		Not in Labor Force
	Civilian Employed	Unemployed	
Less than high school graduate	2,368	631	2,274
High school graduate (includes equivalency)	5,689	720	2,779
Some college or Associate's degree	7,238	597	2,481

Educational Attainment	In Labor Force		Not in Labor Force
	Civilian Employed	Unemployed	
Bachelor's degree or higher	3,839	200	850

Table 44 - Educational Attainment by Employment Status

Data Source: 2007-2011 ACS

Educational Attainment by Age

	Age				
	18–24 yrs	25–34 yrs	35–44 yrs	45–65 yrs	65+ yrs
Less than 9th grade	136	470	525	1,134	1,443
9th to 12th grade, no diploma	1,141	1,077	791	1,276	1,437
High school graduate, GED, or alternative	2,067	2,309	2,499	4,380	3,816
Some college, no degree	2,649	1,819	1,624	3,091	1,188
Associate's degree	451	985	1,160	1,712	489
Bachelor's degree	427	1,140	413	1,650	654
Graduate or professional degree	36	464	321	910	556

Table 45 - Educational Attainment by Age

Data Source: 2007-2011 ACS

Educational Attainment – Median Earnings in the Past 12 Months

Educational Attainment	Median Earnings in the Past 12 Months
Less than high school graduate	14,757
High school graduate (includes equivalency)	22,064
Some college or Associate's degree	29,873
Bachelor's degree	38,848
Graduate or professional degree	47,962

Table 46 – Median Earnings in the Past 12 Months

Data Source: 2007-2011 ACS

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

Based on the populated tables above, the major employment sectors within the City of Utica are 1) education & healthcare, and 2) sales and office. Though not reflected for whatever reason in the tables, government employees make up a significant percentage of the workforce as well, given that the City is the County seat and, as such, is home to federal, state and county offices, in addition to its own municipal offices.

Describe the workforce and infrastructure needs of the business community:

As Table 43 above clearly depicts, one of the biggest needs for the City's workforce is increased educational attainment by our residents. Of the 19,134 civilians employed in the workforce, a meager 20% has fulfilled the requirements necessary to earn a bachelor's degree. Though the City of Utica is a 'college town', home to Utica College, Mohawk Valley Community College, Utica School of Commerce, Pratt Institute at Munson-Williams and the St. Elizabeth School of Nursing (not to mention the fact that the campuses of SUNY Polytechnic Institute and Hamilton College sit in close proximity to the City of Utica), City residents are clearly unprepared for employment opportunities that require completion of a bachelor's degree.

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

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

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

The biggest change that will undoubtedly have an impact on the City's economy is Nano Utica. Nano Utica is the name given to the State's billion-dollar investment in nanotechnology in Marcy, a suburb of Utica. Construction is nearly complete on a \$150 million dollar building on the campus of SUNY Polytechnic Institute. The building is known as 'Quad C' which stands for the Computer Chip Commercialization Center and will be home to a consortium of the world's leading technology companies. The project will result immediately in the creation of nearly 2,000 high-tech, high-paying jobs and hundreds of additional, spin-off jobs in the service sector.

Beyond Quad C, however, the region has worked tirelessly for the past decade to attract a chip fab plant on a vacant parcel of land adjacent to Quad C. The State's vision is that Quad C will perform the research into the field of nanotechnology, while actual manufacturing of nanotechnology products will be done at the chip fab plant.

For the past several decades, it was a foregone conclusion that the region's youth would graduate from local high schools, go on to college in other parts of the State or the country and never return to settle down as there were no meaningful employment opportunities to which to return. Nano Utica has the potential to create that necessary paradigm shift. However, a greater focus on STEM (Science,

Technology, Engineering, Mathematics) starting in grade school through high school is necessary throughout the region, and in the City of Utica, in particular, is necessary to encourage young people to see the potential for employment in those fields locally.

Additionally, in terms of infrastructure needs to support these jobs, appropriate housing options are critical if this City, and this region, are to capture and retain these high-paying, highly educated people within our community. Many of these people will be seeking housing in a hip, urban setting such as that which can be provided by renovating the upper floors of many existing buildings in downtown Utica. However, local developers have been slow to appreciate the vast potential market that will soon be searching for loft-style apartments. Many of these people will drive a little further in order to find housing in their desired environment. As such, the lack of upscale, loft-style downtown housing in Utica may result in many of these people living in other urban areas such as Syracuse or Schenectady.

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

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

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

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

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

This committee's plan involves the following goals:

- Ensure that 100% of the over 34,000 K-12 students in Oneida County are competitively prepared to enter the workforce.
- Ensure that 100% of Oneida County community members are aware of the career opportunities in our region.

- Educate men and women for leadership in their professions and communities, and meet the workforce needs of Oneida County
- Expand Oneida County’s capacity for economic sustainability and build upon its long tradition of the entrepreneurial spirit.
- Create a culture of optimism and engagement that fosters workforce and economic growth the prosperity.
- Ensure that unique training and program offerings meet business and industry demands.
- Attract and assist businesses to locate, grow and prosper in Oneida County and promote our region’s people, workforce and quality of life.

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

Yes

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

The City of Utica currently has a total of 5 projects totaling nearly \$60 million, though a single project (upgrades to the sewer plant/collection system) accounts for \$45 million of that total. Of the 5 projects that are listed on the CEDS, the City is currently working to progress 2 of those projects.

The first project listed on the CEDS is ‘Central Business District Parking’ for an estimated \$3,000,000. Earlier this year, the City signed an Incentive Proposal from Empire State Development Corporation (ESDC) to advance this exact project, after much delay. The incentive proposal from ESDC provides the City with a grant of \$1,760,000 to begin the first few phases of the project. The City is working with the State’s Dormitory Authority to secure the balance of funding necessary to complete this project.

The second project listed on the CEDS that the City is trying to advance this year is ‘Genesee Street Improvements’; this project was originally estimated at \$3,500,000 when the original write-up was submitted to the MVEDD in 2006. Necessary sewer upgrades since that time have pushed the estimate closer to \$5,000,000. Last year, the City submitted a grant application to the United States Economic Development Administration (EDA) for one-time disaster relief funds available because of the hurricanes and resultant flooding that impacted much of the Northeast in recent years. Unfortunately, the funds were submitted on a first-come, first-serve basis and the funds had been exhausted by the time the City submitted its application.

However, the City re-worked its application and submitted an application through EDA’s standard Public Works grant round earlier this year. The application seeks \$3,000,000 in federal funds; the application is currently under review by EDA.

Discussion

As detailed above, the State's investment in the Nano Utica initiative holds incredible promise for the future of the City of Utica over the period of time covered by this 2015-2019 Consolidated Plan. But the City of Utica's workforce must be prepared for the opportunities that are due to be presented to them. CDBG funds available to the City can help lay the groundwork for a small piece of this preparation, but leveraging of those shrinking dollars together with establishing critical partnerships such as with Oneida County's *Vision 2020* will help those dollars go further.

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

MA-50 Needs and Market Analysis Discussion

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

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

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

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

With regard to racial concentrations, as discussed in NA-30 Disproportionately Greater Need: Discussion, there is some concentration of racial or ethnic minorities within certain census tracts. For Black/African American households the largest concentration is within the most centrally located census tract in the Cornhill neighborhood, CT# 021500 in which 45.37-74.1% of the households identify as Black/African American. Asian households demonstrate a slight concentration in the eastern portion of the Cornhill neighborhood with CT# 021202 reporting the largest concentration (27.16%-52.24%) of Asian households. Hispanic households do not demonstrate significant concentration within any census tract, with most census tracts reporting between 7.12% and 23% of the households identifying as Hispanic. CT# 02083, which is located in the Lower East Utica section of the jurisdiction, is nearing concentration for Hispanic households, identifying between 23% and 46.54% of the households within the census tract, which is nearing the definition of concentration.

With regard to low-moderate income households, there is significant concentration within Lower East Utica, Central Cornhill, and Downtown all of which report having a concentration of low/moderate income housing that is equal to or greater than 65.29% of the households.

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

For all of the aforementioned areas, the housing market consists primarily of rental units, with all census tracts reporting less than 47% owner occupied units. There is a high vacancy rate within the areas, with most census tracts showing vacancy rates between 20-60%. The median contract rent for most of the census tracts is between \$454.00 and \$702, with CT# 021101, CT# 021201 and CT# 021000 all showing reporting contract rents less than \$454.00.

Are there any community assets in these areas/neighborhoods?

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

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

Are there other strategic opportunities in any of these areas?

As noted above, both the Cornhill and West Utica neighborhood are primarily residential neighborhoods. Both are extremely densely populated and developed – very little green space exists for new development. Very little space is devoted to anything but residential uses. The sole strategic opportunity is in redeveloping the residential space that is in those neighborhoods. In Cornhill, this has been going on for the last 10 years – since the Utica Municipal Housing Authority was awarded over \$10 million in a HOPE VI grant. As part of that effort, the City and other housing providers have invested millions to renovate the existing housing for both rental and homeownership. While that investment was being made in Cornhill, however, very little was being invested in West Utica.

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

Strategic Plan

SP-05 Overview

Strategic Plan Overview

Through a comprehensive planning process that included input from public, private, not-for profit agencies, organizations, residents (including high school students), the City of Utica created a five year strategy for the Consolidated Plan that sets general priorities for allocating its anticipated entitlement grant funds. The Strategic Plan describes how the priorities were identified, the obstacles to meeting underserved populations, and the accomplishments that the administration expects to achieve over the next five years from 2015-2019 relating to

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

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

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

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

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

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

How priorities were determined:

Research and Census data

Existing planning documents

Consultations with City staff

District stakeholder meetings

Public hearings

Community surveys

Consultations with service providers

Consultations with community and economic development agencies

Other key factors taken into consideration:

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

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

Geographic Area

Table 47 - Geographic Priority Areas

1	Area Name:	Consolidated Plan (CP) Target Area
	Area Type:	Local Target area
	Other Target Area Description:	
	HUD Approval Date:	
	% of Low/ Mod:	
	Revital Type:	Comprehensive
	Other Revital Description:	
	Identify the neighborhood boundaries for this target area.	
	Include specific housing and commercial characteristics of this target area.	
	How did your consultation and citizen participation process help you to identify this neighborhood as a target area?	
	Identify the needs in this target area.	
	What are the opportunities for improvement in this target area?	
	Are there barriers to improvement in this target area?	

General Allocation Priorities

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

As the City was preparing its Consolidated Plan, it was also preparing a Promise Zone application (official designations have not been determined as of this date). City staff used HUD mapping tools to identify those areas with the most need. As a result, the City identified the following “Promise Zone” target area which will be used as the Consolidated Plan or “CP” Target Area.

CP Target Area Boundary

New York State Routes 5, 8 & 12, west along Columbia Street to York Street to Burrstone Road, east along Memorial Parkway to intersection with Mohawk Street, north to intersection with South Street, east to Kossuth Avenue, north to Broad Street, west to Whitesboro Street and connect to New York State Routes 5, 8 & 12 at Columbia Street origin.

The target area includes the following US Census Tracts: 209, 211.02, 211.01, 203, 207.01, 215, 212.02, 212.01, 210, 208.03 and parts of 201, 214.01, 213.02, 213.03, 207.02.

CP Target Area Characteristics

Housing Units	13,258
Total Population	28,249
Poverty Rate	44.59%
Violent Crime	74%
Unemployment	17.67%
Vacancy Rate	16.49%

The target area includes the Bagg’s Square, Bleecker East, Varick West, Cornhill, Midtown, Oneida Square and Downtown development districts.

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

Priority Needs

Table 48 – Priority Needs Summary

1	Priority Need Name	Housing
	Priority Level	High
	Population	Extremely Low Low Moderate Large Families Families with Children Elderly Public Housing Residents
	Geographic Areas Affected	Consolidated Plan (CP) Target Area
	Associated Goals	HS-1 Housing Construction HS-2 Homeowner Rehabilitation HS-3 Rental Housing Rehabilitation HS-4 Neighborhood Revitalization HS-5 Fair Housing SN-1 Housing
	Description	Increase the supply of healthy and affordable single and multi-family housing and linked housing services for extremely low and low- and moderate-income residents - with a focus on new construction, rehabilitation and whole neighborhood revitalization including housing code revisions to meet the demands for urban living.
	Basis for Relative Priority	The CNA determined the need for decent, safe and affordable housing. Oneida County has reduced its number of children with the highest levels of lead poisoning by 72% since 2006; however, the area still has some of the highest rates in the state with over 60% of the homes built before 1950. The influx of refugee families has increased the need for large family housing in the CP Target Area as well as fair housing education. Code revisions are necessary to enable feasible conversions of older building to meet modern housing needs.
2	Priority Need Name	Homelessness

	Priority Level	High
	Population	Extremely Low Low Moderate Large Families Families with Children Elderly Chronic Homelessness Individuals Families with Children Mentally Ill Chronic Substance Abuse veterans Victims of Domestic Violence Unaccompanied Youth Elderly Frail Elderly Persons with Mental Disabilities Persons with Physical Disabilities Persons with Developmental Disabilities Persons with Alcohol or Other Addictions
	Geographic Areas Affected	Consolidated Plan (CP) Target Area
	Associated Goals	HO-1 Operations and Support HO-2 Prevention and Rehousing HO-Housing HO-4 Permanent Housing
	Description	There is a need for housing and support services for homeless persons and persons at risk of becoming homeless.
	Basis for Relative Priority	Consultations with the CoC & agencies.
3	Priority Need Name	Other Special Needs
	Priority Level	High

	Population	Extremely Low Low Moderate Large Families Families with Children Elderly Public Housing Residents Elderly Frail Elderly Persons with Mental Disabilities Persons with Physical Disabilities Persons with Developmental Disabilities Victims of Domestic Violence Non-housing Community Development
	Geographic Areas Affected	Consolidated Plan (CP) Target Area
	Associated Goals	HS-1 Housing Construction HS-2 Homeowner Rehabilitation HS-3 Rental Housing Rehabilitation SN-2 Social Services
	Description	There is a growing critical need for housing with support services (employment, mental health, emergency food and childcare, etc.) with a focus on the frail elderly, those with drug and other addictions, victims of domestic abuse, and the mentally ill.
	Basis for Relative Priority	CoC, housing data and the CNA
4	Priority Need Name	Community Development
	Priority Level	High

	Population	Extremely Low Low Moderate Middle Large Families Families with Children Elderly Public Housing Residents Elderly Frail Elderly Persons with Mental Disabilities Persons with Physical Disabilities Persons with Developmental Disabilities Persons with Alcohol or Other Addictions Persons with HIV/AIDS and their Families Victims of Domestic Violence Non-housing Community Development
	Geographic Areas Affected	Consolidated Plan (CP) Target Area
	Associated Goals	HS-4 Neighborhood Revitalization CD-1 Community Facilities CD-2 Infrastructure CD-3 Public Services CD-4 Food Programs CD-6 Public Safety CD-7 Clearance
	Description	There is a critical need to provide community facilities, public infrastructure, public social/welfare services, food programs, public safety, environmental design and clearance programs.
	Basis for Relative Priority	CNA, Surveys and Public Meetings
5	Priority Need Name	Economic Development
	Priority Level	High

	Population	Extremely Low Low Moderate Middle Large Families Families with Children Elderly Public Housing Residents Non-housing Community Development
	Geographic Areas Affected	Consolidated Plan (CP) Target Area
	Associated Goals	ED-1 Employment ED-2 Financial Assistance ED-3 Technical Assistance ED-5 Rehabilitation - Commercial ED-6 Historic Preservation ED-4 Infrastructure
	Description	There is a continuing need for planning, administration, management, and oversight of federal, state, and local funded programs.
	Basis for Relative Priority	City Staff, Staff Evaluations
6	Priority Need Name	Administration, Planning and Management
	Priority Level	High
	Population	Non-housing Community Development
	Geographic Areas Affected	Consolidated Plan (CP) Target Area
	Associated Goals	AM 1-Overall Administration AM-2 Special Planning/Management Section 108 Loan Repayment
	Description	There is a continuing need for planning, administration, management, and oversight of federal, state, and local funded programs.

Basis for Relative Priority	City Staff, Staff Evaluations
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Narrative (Optional)

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

Influence of Market Conditions

Affordable Housing Type	Market Characteristics that will influence the use of funds available for housing type
Tenant Based Rental Assistance (TBRA)	At this time, the City does not anticipate allocating HOME or CDBG tenant-based rental assistance. We anticipate that all housing resources will be used for acquisition, new construction and rehabilitation. Rental assistance is provided through other grant funding including Supportive (Living) Housing Programs and Shelter Plus Care and other partners.
TBRA for Non-Homeless Special Needs	At this time, there is no plan to utilize HOME or CDBG for permanent tenant-based rental assistance for Non-Homeless Special Needs. Rental assistance is provided through other grant funding including Supportive (Living) Housing Programs and Shelter Plus Care. Transitional rental assistance is provided through State-funded partners
New Unit Production	There are numerous vacant sites in the City for new infill housing construction and for new rental construction with opportunities to create more accessible units for special needs populations. It is anticipated that 250+ units will be created or preserved during program years 2015 through 2019 utilizing private funding and funding from a variety of Federal, State and Local sources including Low-Income Housing Tax Credits, HOME, CDBG, and Tax Increment Financing. It is anticipated that 150 units will be created for low- moderate income individuals and families.
Rehabilitation	Neighborworks, NYSERDA and National Grid provide funding to improve and preserve homes through rehabilitation and energy updates using private and public funding including AHC and Low Income tax credits. The City anticipates that 150+ homes will be rehabilitated during 2015-2019.
Acquisition, including preservation	As the City focuses on neighborhood development strategies, it is becoming a priority to rehabilitate and preserve the buildings to preserve the unique urban fabric of the City.

Table 49 – Influence of Market Conditions

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

Introduction

Anticipated Resources

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
CDBG	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	2,171,458	120,000	0	2,291,458	8,637,226	Funds will be used for community and economic development initiatives in low- and moderate income neighborhoods, including affordable housing, housing preservation, public services for at-risk populations and public infrastructure improvements

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	479,648	6,000	488,585	974,233	1,500,000	HOME funds will be used to develop affordable housing for low income families, including new construction and rehabilitation of single- and multi-family units.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	197,507	0	0	197,507	800,000	ESG funds will be used to assist homeless individuals with shelter services, transitional housing, and rapid re-housing services.

Table 50 - Anticipated Resources

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

In the face of shrinking resources at all levels of government, including its federal entitlements, the City of Utica has grown adept at leveraging its scarce resources for its priority projects to secure additional sources of funding. For the past several years and for the next several years moving forward, State dollars are made available most often through Governor Cuomo’s Consolidated Funding Application (CFA) rounds. The City has utilized its federal dollars, where applicable, as a local match to secure State funding through the CFA process. One of the best examples of this is in the most recent CFA round which was announced this past winter. The City partnered with the Utica Neighborhood

Housing Service to submit an application to the NYS Office of Parks, Recreation and Historic Preservation for \$500,000 in State funds to construct Kemble Park. The City used CDBG funding as a local match; the application was approved and construction of the Park will begin in late 2015.

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

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

The City of Utica is spatially constrained and highly developed. As such, there are no 'greenfields' on which new development can be planned. Therefore, development must occur usually on brownfield sites. Given the liability risk in owning such properties, the City of Utica does not own large swaths of such land. The Kemble Park project detailed above is a rare exception in that the City 'swapped' land with the Utica City School District in order to assemble a parcel large enough on which to construct a city park.

Discussion

SP-40 Institutional Delivery Structure – 91.215(k)

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

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

Table 51 - Institutional Delivery Structure

Assess of Strengths and Gaps in the Institutional Delivery System

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

resources to meet the ever growing and changing needs of the residents while trying to grow and sustain operations.

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

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

Table 52 - Homeless Prevention Services Summary

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

Residents in the City of Utica have substantial support from a strong not-for-profit sector with a long history of providing a full range of physical and behavioral healthcare services to low-income and homeless persons and families, including those who are chronically homeless, veterans, and persons with HIV. As small as our city is, Utica hosts two large state-certified mental health outpatient clinics, two "Article 28" state-licensed psychiatric inpatient units, one outpatient clinic that provides integrated mental health and addiction treatment services, 42 residential inpatient beds for those with a substance

abuse disorder with other high needs (often homeless), a state-run 21-day inpatient addiction treatment/rehab inpatient program, and state-certified 21-day Addiction Crisis Center, and five "congregate-care" half-way houses for adults in recovery: three for men and two for women. Utica also now has a Federally Qualified Health Center in a central location and under new Affordable Care Act regulations and funding there is new (2 year old) Health Home Program that provides "care coordination" for over 500 persons who have utilized Medicaid – reimbursed health care at very high levels. State data on this group revealed that over 40% were persons with behavioral health disabilities - many with a long term history of homelessness. In 2013, a key CoC Board member agency (the Central NY Health Home Agency) received a state contract to set up a large team of Health Home care coordinators serving Utica, Rome, and both counties in our CoC and Utica-based CoC partners are have been working closely with this agency and their staff to identify, engage, and enroll homeless and chronically homeless persons in health care with a care coordination component - making referrals and working to provide supportive housing for their clients. Another key CoC Board agency (ACR Health)has expanded its mission beyond serving the HIV/AIDs population and now has staff providing ACA-funded navigation services for all persons seeking them in our CoC.

In the past decade 16 units have been added for permanent supportive housing to chronically homeless adults with a mental health disability serving and stabilizing many chronically homeless adults with a long history of both hospital and jail admissions. Our City has three transitional housing programs: one for homeless young single women, one for homeless youth pregnant and parenting women, and one for homeless young men. The city's first youth homeless shelter is now in the late planning stage and is expected to open in 2017. Community-based Veterans Outreach Center located in central/downtown Utica (across the street from City Hall) that provides a wide variety of services for homeless veterans. In 2010 the CNY Veterans Outreach Center was selected by our CoC as the grantee for a HUD/VA VHPD (Veterans Homelessness Prevention Demonstration Program) that our CoC received (one of just five in the nation). The first VA Supportive Housing (VASH) program (35 units) in our region began in 2010. This program quickly filled and another round of VASH vouchers (15 units) were awarded four years ago and dedicated to chronically homeless veterans only. Our CoC also now has two VA-SSVF programs managed by community-based organizations and CoC partners and the City, in partnership with non-for-profit affordable housing developer Housing Visions developed two state-funded projects providing another 6 units of affordable permanent housing for homeless vets in both Utica (6 units) as part of the Kemble Square Project.

The Utica-based CNY Veterans Outreach Center served over 400 veterans and family members in Utica and throughout the region with the VHPD program, and now have two strong SSVF programs, two VASH programs and active outreach to veterans ineligible for homeless assistance funding through VA programs in our CoC.

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

Our key service delivery system strengths include a strong service set- including crisis, shelter and transitional housing services- for DV Victims and their children; services for veterans and their family members, and permanent supportive housing services for persons with a behavioral health disability.

Our largest current service gaps include drop-in services and temporary shelter for unaccompanied and homeless youth in the City (currently have none) and extremely affordable housing for our very low-income residents who are unable to afford even \$500/month for a room or small apartment.

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

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

With regard to addressing service gaps for our homeless youth population, the CoC's relatively new Runaway and Homeless Youth Task Group has been working actively for the past year and a half to develop a new drop-in center and emergency housing services and has already made substantial progress including securing new space for a drop in center in Utica, and funding for our City's first homeless youth shelter.

SP-45 Goals Summary – 91.215(a)(4)

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	HS-1 Housing Construction	2005	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing Other Special Needs	HOME: \$899,410	Homeowner Housing Added: 100 Household Housing Unit
2	HS-2 Homeowner Rehabilitation	2015	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing Other Special Needs	HOME: \$306,000	Homeowner Housing Rehabilitated: 50 Household Housing Unit
3	HS-3 Rental Housing Rehabilitation	2015	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing Other Special Needs	HOME: \$500,000	Rental units rehabilitated: 50 Household Housing Unit
4	HS-4 Neighborhood Revitalization	2015	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing Community Development	CDBG: \$500,000 HOME: \$122,000	Rental units rehabilitated: 8 Household Housing Unit Homeowner Housing Rehabilitated: 8 Household Housing Unit
5	HS-5 Fair Housing	2015	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing	CDBG: \$20,000 HOME: \$20,000	Other: 100 Other
6	HO-1 Operations and Support	2015	2019	Homeless	Consolidated Plan (CP) Target Area	Homelessness	ESG: \$242,547	Homeless Person Overnight Shelter: 1500 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
7	HO-2 Prevention and Rehousing	2015	2019	Homeless	Consolidated Plan (CP) Target Area	Homelessness	ESG: \$548,529	Tenant-based rental assistance / Rapid Rehousing: 450 Households Assisted
8	HO-Housing	2015	2019	Homeless	Consolidated Plan (CP) Target Area	Homelessness	ESG: \$93,138	Overnight/Emergency Shelter/Transitional Housing Beds added: 75 Beds
9	HO-4 Permanent Housing	2015	2019	Homeless	Consolidated Plan (CP) Target Area	Homelessness	HOME: \$325,000	Housing for Homeless added: 25 Household Housing Unit
10	SN-1 Housing	2015	2019	Non-Homeless Special Needs	Consolidated Plan (CP) Target Area	Housing	CDBG: \$50,000	Other: 10 Other
11	SN-2 Social Services	2015	2019	Non-Homeless Special Needs	Consolidated Plan (CP) Target Area	Other Special Needs	CDBG: \$569,000	Other: 20 Other
12	CD-1 Community Facilities	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$330,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 10000 Persons Assisted
13	CD-2 Infrastructure	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$1,200,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 30000 Persons Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
14	CD-3 Public Services	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$1,340,440	Public service activities other than Low/Moderate Income Housing Benefit: 30000 Persons Assisted
15	CD-4 Food Programs	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$100,000	Public service activities other than Low/Moderate Income Housing Benefit: 5000 Persons Assisted
16	CD-6 Public Safety	2010	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$50,000	Other: 8000 Other
17	CD-7 Clearance	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$750,000	Buildings Demolished: 15 Buildings
18	ED-1 Employment	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$450,000	Jobs created/retained: 200 Jobs
19	ED-2 Financial Assistance	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$600,000	Jobs created/retained: 20 Jobs Businesses assisted: 20 Businesses Assisted
20	ED-3 Technical Assistance	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$150,000	Businesses assisted: 50 Businesses Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
21	ED-4 Infrastructure	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$300,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 10000 Persons Assisted
22	ED-5 Rehabilitation - Commercial	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$603,170	Businesses assisted: 12 Businesses Assisted
23	ED-6 Historic Preservation	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$200,000	Businesses assisted: 5 Businesses Assisted
24	AM 1-Overall Administration	2015	2019	Administration	Consolidated Plan (CP) Target Area	Administration, Planning and Management	CDBG: \$2,300,736 HOME: \$226,823 ESG: \$83,293	Other: 1 Other
25	AM-2 Special Planning/Management	2015	2019	Overall Planning and Administrative Management	Consolidated Plan (CP) Target Area	Administration, Planning and Management	CDBG: \$70,000 HOME: \$75,000 ESG: \$30,000	Other: 1 Other
26	Section 108 Loan Repayment	2015	2019	Loan Repayment	Consolidated Plan (CP) Target Area	Administration, Planning and Management	CDBG: \$1,345,338	Other: 1 Other

Table 53 – Goals Summary

Goal Descriptions

1	Goal Name	HS-1 Housing Construction
	Goal Description	Construction of new housing for low- and moderate-income persons and households
2	Goal Name	HS-2 Homeowner Rehabilitation
	Goal Description	Rehabilitation of income-qualified owner-occupied housing units
3	Goal Name	HS-3 Rental Housing Rehabilitation
	Goal Description	Rehabilitation of rental housing for income-qualified tenants
4	Goal Name	HS-4 Neighborhood Revitalization
	Goal Description	Improvements to distinct residential neighborhoods where at least 51% of the residents are low- to moderate-income
5	Goal Name	HS-5 Fair Housing
	Goal Description	Education and training to housing providers and those involved in real estate to understand the ramifications of the Fair Housing Act. Other is defined as the number of people receiving education/assistance with regard to fair housing.
6	Goal Name	HO-1 Operations and Support
	Goal Description	Funding for providers of services to the homeless
7	Goal Name	HO-2 Prevention and Rehousing
	Goal Description	Funds to providers of homelessness prevention and rapid rehousing services

8	Goal Name	HO-Housing
	Goal Description	Funds to providers of shelters/housing for the homeless
9	Goal Name	HO-4 Permanent Housing
	Goal Description	Funds to construct permanent housing for the chronically homeless
10	Goal Name	SN-1 Housing
	Goal Description	Construction of new housing for special needs population. Other is defined by the number of special needs housing units addressed.
11	Goal Name	SN-2 Social Services
	Goal Description	Provides new services for special needs populations
12	Goal Name	CD-1 Community Facilities
	Goal Description	Funds eligible activities for public facilities
13	Goal Name	CD-2 Infrastructure
	Goal Description	Funding for eligible public infrastructure improvements
14	Goal Name	CD-3 Public Services
	Goal Description	Funding for eligible public services
15	Goal Name	CD-4 Food Programs
	Goal Description	Funding to provide healthy food to income-eligible persons and households

16	Goal Name	CD-6 Public Safety
	Goal Description	Funding to increase community policing in distinct neighborhoods populated by a minimum of 51% of low- to moderate-income persons and households
17	Goal Name	CD-7 Clearance
	Goal Description	Funding for demolition of substandard housing units owned by the City
18	Goal Name	ED-1 Employment
	Goal Description	Funding provided in the form of grants and/or loans for the purpose of creating employment opportunities for persons of low- to moderate-income
19	Goal Name	ED-2 Financial Assistance
	Goal Description	Funding to for-profit businesses tied to job creation/retention
20	Goal Name	ED-3 Technical Assistance
	Goal Description	Funding to provide technical assistance to for-profit businesses
21	Goal Name	ED-4 Infrastructure
	Goal Description	The purpose of this goal is to construct and/or rehabilitate aging infrastructure in commercial districts.
22	Goal Name	ED-5 Rehabilitation - Commercial
	Goal Description	Funding to be provided to for-profit businesses in areas of slum and blight to improve the exterior of their buildings
23	Goal Name	ED-6 Historic Preservation
	Goal Description	This Goal focuses on economic development activities that aim to renovate, convert and/or repurpose historic assets within the City of Utica.

24	Goal Name	AM 1-Overall Administration
	Goal Description	This goal will focus on management and administration of the prior goals and the funds provided by HUD through the formula allocations of CDBG, HOME and ESG. For goal outcome measurements, other is defined by the number of city departments assisted.
25	Goal Name	AM-2 Special Planning/Management
	Goal Description	This goal associates with planning measures related to the other indicated goals and involves the overall planning objectives necessary to successfully meet other goals. This goal also includes funds provided to Community Housing Development Organizations (CHDO) under CHDO Operation funds as well as funds allocated for HMIS management. For the purpose of this goal, other is defined as the number of entities assisted.
26	Goal Name	Section 108 Loan Repayment
	Goal Description	This goal requires the City to timely make all Section 108 Loan Repayments. For the purpose of this goal, outcome measurements will be defined as the number of loans replayed.

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

Through the use of HOME funds, coupled with other funding sources including state grants and low income housing tax credit funds, the City of Utica’s goal is to develop 100 units of affordable housing through new construction. We estimate at least 15 of those units being developed for extremely low income households, 60 units are anticipated to be for low income households. The remaining 25 units are estimated to be predominately for moderate income households.

Additionally, the City of Utica has a goal to rehabilitate 50 rental units within the City. Through this process we anticipate that 10 will be for the extremely low income, 20 for low income households and the remaining 20 for moderate income households.

Finally the City of Utica has the goal of rehabilitating 50 homeowner occupied units. Through this goal we anticipate no extremely low income residents being assisted due to the fact that the vast majority of extremely low income households are renters. We anticipate 15 units of assistance for low income households and 35 units of assistance for moderate income households, given that moderate income households make up the predominate population for low-moderate income homeowners.

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

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

Not Applicable

Activities to Increase Resident Involvements

Within the Utica Municipal Housing Authority's Five Year Agency Plan for Fiscal Years 2015-2019, the MHA lists the promotion of self-sufficiency and asset development of its families and individuals as one of its HUD Strategic Goals. Listed as objectives in reaching that goal are the following:

- Section 3 business and training employment opportunities/Informational Sessions
- Seek partnerships with public/private entities for social and economic services to residents
- Family Self-Sufficiency program in Public Housing
- Develop on-site educational, job training, career development, and literacy programs for residents
- Continue development of a construction skills training center with local education institutions
- Continue to implement community service requirements to facilitate resident involvement in job training/educational programs
- Provide entrepreneurship/small business development training programs
- Implement AmeriCorps program to provide housing information/referral assistance, employment readiness training, and financial training
- Implement new service coordinator grants through the UMHA resident associations.
- Continue to provide service coordination to elderly and disabled households
- Implement health education programs
- Provide elderly and residents with services provided by new HUD service coordinator grants
- Develop new program initiatives to assist public housing refugee/immigrant communities
- Continue to implement youth development programs
- Maintain the operation of the Neighborhood Network Centers and help public housing residents access technology
- Incorporate supportive services into property management functions
- Conduct resident orientation/training sessions on housekeeping and support services
- Continue to build partnerships with local social service agencies to coordinate services
- Seek funding from public/private sources to maintain/enhance resident service programs
- Continue to develop/maintain resident associations and leadership development training programs
- Apply for/implement agency resident service programs
- Seek funding to continue operation of youth corps training programs

- Develop meaningful activities that recognize citizenship, service, leadership, scholarship and character
- Create new programs/services to assist refugee/immigrant resident groups access community services
- Continue the community garden program to aid residents access to low cost nutritious food
- Coordinate the development of new disease prevention/community health prevention programs with community agencies
- Develop project site health clinics, prevention screening programs, and resident housekeeping/life skills education programs
- Work identify/receive funds to upgrade resident education/training/self-sufficiency program sites
- Implement an AmeriCorps/VISTA volunteer program to provide education/job training services for residents
- Continue to expand community partnerships with agencies/educational institutions
- Work to develop new Neighborhood Networks computer centers at Humphrey Gardens and senior sites
- Develop accessible community center for residents of the Humphrey Gardens
- Train peer educators to conduct education and outreach to refugee and New American populations

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

No

Plan to remove the 'troubled' designation

Not Applicable

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

Barriers to Affordable Housing

Availability of Affordable and Suitable Housing

There are 200 families on the waiting list for Section 8 housing in Utica. These families are forced to rent substandard housing while waiting for assistance. Additionally, there are 5,005 households described as earning less than 30% AMI but only approximately 1,000 units that are affordable for such extremely low income populations.

Gentrification

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

Strategy to Remove or Ameliorate the Barriers to Affordable Housing

In an effort to remove or reduce barriers to the development of affordable housing, the City of Utica will work for the next five years to:

- Update the 2005 Residential Market Potential (Zimmerman/Volk study) to identify the current market potential and feasibility studies for priority buildings, to identify a housing strategy and to assist the City to attract both developers and funders;
- Identify and promote State and Federal Assistance for affordable housing;
- Make changes to its zoning and building code to promote the creation of new affordable housing units in vacant upper floor spaces;
- Help developers identify sites for development of affordable housing;
- Develop incentive and technical assistance programs to assist developers to rehabilitate rental housing for mixed use;
- Utilize HOME funding to provide energy improvements to rental housing;

Provide workshops, housing fairs, seminars and paper and electronic literature in multiple languages.

SP-60 Homelessness Strategy – 91.215(d)

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

The Utica/Rome/Oneida County CoC Steering Committee (which includes the City of Utica) made the funding priority and funding allocation decisions for ESG spending this year. One of the Steering Committee members is a formerly homeless female Army veteran who is also Executive Director of a faith-based, grassroots Supportive Housing agency located in the City of Utica. This person is a very active and highly vocal member of our CoC and her agency has partnered with the City of Utica on a number of HOME-funded projects to build supportive housing in Utica's poorest neighborhood.

Addressing the emergency and transitional housing needs of homeless persons

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

- Hall House (\$39,699,) to operate a shelter for female victims of domestic violence and their children.
- Johnson Park Center (\$21,621) to continue funding for the emergency/transitional housing program for females who may have been ex-offenders or substance abusers and the chronically homeless.
- New Horizons (\$17,191) to operate a 14-bed transitional housing facility for females between 16 and 21 that are unable to return to their homes.
- Evelyn's House (\$14,532) to operate a 7-bed shelter for pregnant and parenting teenage mothers.
- John Bosco House (\$17,191) to operate a 6-bed transitional housing facility for homeless young, single men.
- Johnson Park Center (\$53,168) to operate the rapid-rehousing and homelessness prevention portion of the program. This component of the City of Utica's Emergency Solutions Grant complies with the minimum 40% rapid-rehousing requirement; JPC will operate a security deposit program which will help those individuals and families at imminent risk of becoming homeless with assistance in securing new housing.
- Utica Center for Development (13,292) to operate their rapid re-housing program for veterans and their families.

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

The programs funded by the City of Utica have a component which is designed to reduce the chances of those served becoming homeless again. In the case of John Bosco house, transitional housing for young men, the boys learn skills and techniques in hydroponics. The House is runs a social enterprise in which hydroponic leaf greens and sprouts are grown in house and sold at local grocery stores. One of the rules of John Bosco House is that if not in high school, the young men must seek employment so that when they are able to leave the home, they will be able to support themselves. In Evelyn's House for Young mothers and Babies, the women are taught basic skills of creating shopping lists, clipping coupons and preparing dinner schedules for the house. Each resident is assigned a night to prepare a meal. In addition they learn how to set up a normal routine for their babies in terms of sleeping and feeding. Johnson Park Center will assess the women at intake and address many of the main problems they come in with from drug addiction to self-confidence.

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

Employment of homeless persons:

We are now greatly exceeding HUD targets for the employment of homeless persons exiting supportive housing programs in our CoC. We have accomplished this by strengthening existing programs designed to support homeless individuals as they seek employment, and by aggressively pursuing and obtaining grant funding from the U.S. Department of Labor to serve ex-offenders who are unemployed (ex-offenders are a significant portion of our homeless population). Several new employment programs for the homeless were initiated or renewed in 2007 including "Jobs and Hope for Homeless Veterans" funded by the US Department of Labor; a new "Second Start" employment program for youth age 16-19 who are exiting Oneida County Jail

Youth supportive housing:

Youth age 16-21 are a significant portion of our local homeless population and are a particular challenge to locate and serve because they often make efforts to avoid local service providers, even when homeless. In the past year, we have opened the first supportive housing program (Evelyn's House) for homeless pregnant and parenting teens in Utica, expanded an existing supportive housing program for single female youth in Utica- adding 6 new beds.

Homeless veterans:

Our CoC held its first "Stand Down" for homeless veterans in Utica in 2006 and another one in 2007. Stand Downs are one-day events with extensive publicity designed to highlight the issue of homelessness among our veteran population and to bring together an array of service providers to provide instant, on-site services to homeless vets. Also, our CoC Chair did research on veteran's behavioral health issues related to homelessness and has presented this work at community meetings

to raise awareness and encourage local providers to reach out and serve veterans who return to our CoC and experience mental health, substance abuse, and family problems that can result in homelessness.

Chronically homeless persons with a serious mental health disability:

We worked actively this past year to assess and address the need for supportive housing for chronically homeless persons with a serious mental health disability in our CoC. Unmet housing needs for this population have grown dramatically in the past three years as our stock of affordable SRO housing has declined in the community. Our efforts resulted in a HOME grant from the City of Utica to rehabilitate two properties and provide 8 units of permanent supportive housing to serve this population.

Prisoner reentry:

In 2006 our CoC implemented the Oneida County Prisoner Reentry Task Force with the support of the NYS Department of Criminal Justice Services. The Task Force was refunded in 2007. The Reentry Task Force Coordinator works closely with our local Parole Office, the Oneida County Department of Social Services, and the DA's Office along with a number of area providers to ensure that those returning from prison are less likely to re-offend and return to prison because they have housing and the support and guidance they need to quickly obtain employment and, if necessary, mental health or substance abuse treatment. Early results indicate that this project will significantly reduce the number of released prisoners who re-offend and/or become homeless.

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

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

Oneida County has reduced its number of children with the highest levels of lead poisoning by 72% since 2006; however, the area still has some of the highest rates in the state, including New York City. Lead poisoning can lead to a number of symptoms, from headaches to behavioral problems and can even affect a child's developing brain. In Utica's poorest neighborhoods, over 60% of the homes were built before 1950 – many with deterioration and aged housing conditions that are exposing residents to contaminants.

The Oneida County Health Department works to eliminate childhood lead poisoning in portions of Oneida County like Utica that are designated as “high risk” areas for lead poisoning. They focus on community education, including home visitations, risk assessment of lead hazards, dust sampling and clearance, rehabilitation incentives and training, and other researched innovative measures that align with healthy housing principles, including the following goals/tasks for 2015 and beyond:

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

- **Provide Lead Staff Workshops** - Cornell University School of Industrial and Labor Relations will assist to provide new opportunities for consistently updated lead prevention training for program staff.

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

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

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

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

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

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

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

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

Subgoals

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

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

Subgoals

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

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

Subgoals

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

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

Subgoals

1. Incorporate community policing objectives in comprehensive neighborhood planning
2. Use innovative environmental design strategies in neighborhood streetscape plans

3. Provide measures to enhance inclusive representation in neighborhood meetings, hiring practices and decision-making

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

Subgoals

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

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

Subgoals

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

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

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

SP-80 Monitoring – 91.230

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

The staff of the City of Utica's Department of Urban & Economic Development will be responsible for the monitoring of the various outside agencies and organizations that receive entitlement funding through CDBG, HOME and/or ESG monies during the 2015-2016 program year. The primary purpose of the City's monitoring program will be to ensure that all subrecipients progress their respective projects in furtherance of the 2015-2016 Annual Action Plan in compliance with all applicable federal and local regulations.

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

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

In addition to these progress reports, Department staff will employ a random on-site inspection of subrecipients during the 2015-2016 program year. Monitoring reviews may take the form of on-site visits or desk reviews.

The City of Utica's monitoring strategy is a management control technique for ongoing assessment of the quality of grantee performance over a period of time. Monitoring provides information about a grantee's program effectiveness and management efficiency. The City strives to work in partnership

with its subrecipients to ensure successful program implementation. Monitoring visits also allow staff to provide on-site assistance to subrecipients carrying out their program responsibilities.

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

While some communities employ a random sampling of subrecipients annually, monitoring visits are made to every HOME, CDBG and ESG subrecipient each entitlement year; the same plan is in place for the 2015-2016 program year. Utilizing checklists developed for each activity/project, Department staff will conduct the on-site monitoring visit by meeting with appropriate staff, reviewing a random selection of files and observing the conduct of each activity. The results of each monitoring visit are then incorporated into each Department project file.

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

Expected Resources

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

Introduction

Anticipated Resources

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
CDBG	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	2,171,458	120,000	0	2,291,458	8,637,226	Funds will be used for community and economic development initiatives in low- and moderate income neighborhoods, including affordable housing, housing preservation, public services for at-risk populations and public infrastructure improvements

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	479,648	6,000	488,585	974,233	1,500,000	HOME funds will be used to develop affordable housing for low income families, including new construction and rehabilitation of single- and multi-family units.

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 1				Expected Amount Available Reminder of ConPlan \$	Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$		
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	197,507	0	0	197,507	800,000	ESG funds will be used to assist homeless individuals with shelter services, transitional housing, and rapid re-housing services.

Table 54 - Expected Resources – Priority Table

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

In the face of shrinking resources at all levels of government, including its federal entitlements, the City of Utica has grown adept at leveraging its scarce resources for its priority projects to secure additional sources of funding. For the past several years and for the next several years moving forward, State dollars are made available most often through Governor Cuomo’s Consolidated Funding Application (CFA) rounds. The City has utilized its federal dollars, where applicable, as a local match to secure State funding through the CFA process. One of the best examples of this is in the most recent CFA round which was announced this past winter. The City partnered with the Utica Neighborhood Housing Service to submit an application to the NYS Office of Parks, Recreation and Historic Preservation for \$500,000 in State funds to construct

Kemble Park. The City used CDBG funding as a local match; the application was approved and construction of the Park will begin in late 2015.

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

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

The City of Utica is spatially constrained and highly developed. As such, there are no 'greenfields' on which new development can be planned. Therefore, development must occur usually on brownfield sites. Given the liability risk in owning such properties, the City of Utica does not own large swaths of such land. The Kemble Park project detailed above is a rare exception in that the City 'swapped' land with the Utica City School District in order to assemble a parcel large enough on which to construct a city park.

Discussion

Annual Goals and Objectives

AP-20 Annual Goals and Objectives

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	HS-1 Housing Construction	2005	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing Other Special Needs	HOME: \$300,000	Rental units constructed: 48 Household Housing Unit
2	HS-3 Rental Housing Rehabilitation	2015	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing	HOME: \$117,648	Rental units rehabilitated: 8 Household Housing Unit
3	AM 1-Overall Administration	2015	2019	Administration	Consolidated Plan (CP) Target Area	Administration, Planning and Management	CDBG: \$451,127 HOME: \$47,000 ESG: \$14,813	Other: 1 Other
4	AM-2 Special Planning/Management	2015	2019	Overall Planning and Administrative Management	Consolidated Plan (CP) Target Area	Housing Administration, Planning and Management	HOME: \$15,000 ESG: \$6,000	Other: 3 Other

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
5	CD-1 Community Facilities	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$108,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 2000 Persons Assisted
6	CD-2 Infrastructure	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$430,000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 1000 Persons Assisted
7	CD-7 Clearance	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$150,000	Homelessness Prevention: 3 Persons Assisted
8	CD-3 Public Services	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Other Special Needs Community Development	CDBG: \$205,666	Public service activities other than Low/Moderate Income Housing Benefit: 5602 Persons Assisted
9	HS-2 Homeowner Rehabilitation	2015	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing	CDBG: \$96,940 HOME: \$150,000	Homeowner Housing Rehabilitated: 3 Household Housing Unit
10	ED-5 Rehabilitation - Commercial	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$100,000	Facade treatment/business building rehabilitation: 4 Business
11	ED-6 Historic Preservation	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Community Development	CDBG: \$40,000	Other: 1 Other

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
12	ED-3 Technical Assistance	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$70,000	Businesses assisted: 3 Businesses Assisted
13	ED-2 Financial Assistance	2015	2019	Non-Housing Community Development	Consolidated Plan (CP) Target Area	Economic Development	CDBG: \$352,000	Jobs created/retained: 16 Jobs
14	Section 108 Loan Repayment	2015	2019	Loan Repayment	Consolidated Plan (CP) Target Area	Administration, Planning and Management	CDBG: \$282,725	Other: 1 Other
15	HS-5 Fair Housing	2015	2019	Affordable Housing	Consolidated Plan (CP) Target Area	Housing	CDBG: \$5,000	Other: 25 Other
16	HO-2 Prevention and Rehousing	2015	2019	Homeless	Consolidated Plan (CP) Target Area	Homelessness	ESG: \$66,460	Tenant-based rental assistance / Rapid Rehousing: 95 Households Assisted
17	HO-1 Operations and Support	2015	2019	Homeless	Consolidated Plan (CP) Target Area	Homelessness	ESG: \$110,234	Homeless Person Overnight Shelter: 315 Persons Assisted

Table 55 – Goals Summary

Goal Descriptions

1	Goal Name	HS-1 Housing Construction
	Goal Description	

2	Goal Name	HS-3 Rental Housing Rehabilitation
	Goal Description	This Activity is anticipated to be run by a CHDO
3	Goal Name	AM 1-Overall Administration
	Goal Description	For the purpose of this goal other will be defined as the number of City Departments assisted.
4	Goal Name	AM-2 Special Planning/Management
	Goal Description	For goal objective outcome measurements other is equal to the number of departments, CHDOs or other planning/management organizations assisted.
5	Goal Name	CD-1 Community Facilities
	Goal Description	
6	Goal Name	CD-2 Infrastructure
	Goal Description	
7	Goal Name	CD-7 Clearance
	Goal Description	
8	Goal Name	CD-3 Public Services
	Goal Description	
9	Goal Name	HS-2 Homeowner Rehabilitation
	Goal Description	

10	Goal Name	ED-5 Rehabilitation - Commercial
	Goal Description	
11	Goal Name	ED-6 Historic Preservation
	Goal Description	For goal outcome measurement Other equals the number of historic properties preserved.
12	Goal Name	ED-3 Technical Assistance
	Goal Description	
13	Goal Name	ED-2 Financial Assistance
	Goal Description	
14	Goal Name	Section 108 Loan Repayment
	Goal Description	For this goal's outcome objective Other equals the number of Section 108 Loan payments made.
15	Goal Name	HS-5 Fair Housing
	Goal Description	Other is defined as the number of people receiving education/assistance with regard to fair housing.
16	Goal Name	HO-2 Prevention and Rehousing
	Goal Description	
17	Goal Name	HO-1 Operations and Support
	Goal Description	

Projects

AP-35 Projects – 91.220(d)

Introduction

The following projects represent the allocations for the City of Utica for the Year One Annual Action Plan. As can be seen from the project descriptions, the City will be funding 15 projects comprised of approximately 32 separate activities. In all we anticipate that 5,602 individuals and families will be served by the public service activities, approximately 25 businesses will receive assistance either through facade improvements, loans, or technical assistance, 1 historic building will receive preservation assistance, over 50 units of safe, affordable housing will be created through new construction or rehabilitation, and over 400 homeless/at-risk for homelessness individuals will receive assistance through rapid rehousing, transitional housing or an emergency shelter.

Projects

#	Project Name
1	Public Facilities and Improvements
2	Demolition of Substandard Housing
3	Public Services
4	Homeowner Occupied Housing Rehab
5	Rehabilitation of Privately Owned Commercial Buildings
6	Non-Residential Historic Preservation
7	Economic Reinvestment Loan Program-Assistance to For-Profits
8	Section 108 Loan Repayment
9	CDBG Administration
10	Fair Housing Project
11	Rental Rehabilitation
13	CHDO Operations
14	HOME Administration
15	ESG 15 Utica
16	New Construction Rental Housing

Table 56 – Project Information

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

AP-38 Project Summary
Project Summary Information

1	Project Name	Public Facilities and Improvements
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	CD-1 Community Facilities CD-2 Infrastructure
	Needs Addressed	Community Development
	Funding	CDBG: \$538,000
	Description	This project will include funding for improvements to the Veterans Outreach Center, Streetscape Improvements for the Brewery District, Street Reconstruction and Repaving, and assistance with the construction of Kemble Park
	Target Date	3/31/2016
	Estimate the number and type of families that will benefit from the proposed activities	We anticipate approximately 2,000 low/moderate income families will be assisted through these projects.
	Location Description	Activities under this project will take place in multiple locations. The Kemble Park project will be located within the Cornhill neighborhood, the Brewery District streetscape project will be located in West Utica in and around Varick Street, the Improvements to the Veterans Outreach Center will occur at 726 Washington Street, Utica, New York in the downtown District, and the street reconstruction projects will occur in various low/mod neighborhoods throughout the target area.
Planned Activities	<ul style="list-style-type: none"> • Improvements to the Veterans Outreach Center; • Streetscapes for the Brewery District; • Street reconstruction in the target area • Kemble Park Construction 	
2	Project Name	Demolition of Substandard Housing
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	CD-7 Clearance
	Needs Addressed	Community Development
	Funding	CDBG: \$150,000
	Description	This project will fund the demolition of substandard housing units in the CDBG Target Area.

	Target Date	11/30/2015
	Estimate the number and type of families that will benefit from the proposed activities	Approximately 50 families will benefit from the removal of substandard, vacant, and unsafe housing within their neighborhoods.
	Location Description	The Consolidated Plan Target Area. Specific Addresses have yet to be determined given that the housing stock needs to be reviewed to determine which buildings are substandard.
	Planned Activities	Demolition of approximately 4 substandard housing units.
3	Project Name	Public Services
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	CD-3 Public Services
	Needs Addressed	Other Special Needs Community Development
	Funding	CDBG: \$205,666
	Description	This project includes activities which provide funding for various public services throughout the City of Utica. The specific activities and services provide include: Parkway Senior Center (Senior Services) North Utica Senior Center (Senior Services) UNHS Senior Transportation (Senior Services) West Utica Senior Center (Senior Services) Boys & Girls Club (Youth Services) Compeer of the Mohawk Valley (Services for Developmentally Disabled Youth) Johnson Park Center Drop In Center (Youth Services) Utica Safe Schools Underground Cafe (Youth Services) Mohawk Valley Somali Bantu (Public Services to Somali Bantu Population) Utica College Young Scholars Program (Youth Services) Sculpture Space (Community Garden) Utica Public Library (Youth Literacy Service) Rescue Mission of Utica (Job Training for individuals recovering from alcohol addiction)
	Target Date	3/31/2016
	Estimate the number and type of families that will benefit from the proposed activities	We estimate that approximately 5,602 low/moderate income individuals/families will benefit from the activities under this project.

	Location Description	Parkway Senior Center - 220 Memorial Parkway, Utica, New York 13501 North Utica Senior Center - 50 riveside Drive, Utica, New York 13502 UNHS Senior Transportation - 1611 Genesee Street, Utica, New York 13501 West Utica Senior Center - 717 Court Street, Utica, New York 13502 Boys & Girls Club - 220 Memorial Parkway, Utica, New York 13501 Compeer of the Mohawk Valley - 209 Elizabeth Street, Utica, New York 13501 Johnson Park Center Drop In Center - 26 Johnson Park Center, Utica, New York 13501 Utica Safe Schools Underground Cafe - 106 Memorial Parkway Utica, New York 13501 Mohawk Valley Somali Bantu - Location to be determined Utica College Young Scholars Program - Thomas R. Proctor High School/Utica College Sculpture Space - 12 Gates Street, Utica, New York 13502 Utica Public Library - 303 Genesee Street, Utica, New York 13501 Rescue Mission of Utica - 212 Rutger Street, Utica, New York 13501
	Planned Activities	<ul style="list-style-type: none"> • Parkway Senior Center (Senior Services) • North Utica Senior Center (Senior Services) • UNHS Senior Transportation (Senior Services) • West Utica Senior Center (Senior Services) • Boys & Girls Club (Youth Services) • Compeer of the Mohawk Valley (Services for Developmentally Disabled Youth) • Johnson Park Center Drop In Center (Youth Services) • Utica Safe Schools Underground Cafe (Youth Services) • Mohawk Valley Somali Bantu (Public Services to Somali Bantu Population) • Utica College Young Scholars Program (Youth Services) • Sculpture Space (Community Garden) • Utica Public Library (Youth Literacy Service) • Rescue Mission of Utica (Job Training for individuals recovering from alcohol addiction)
4	Project Name	Homeowner Occupied Housing Rehab
	Target Area	Consolidated Plan (CP) Target Area

	Goals Supported	HS-2 Homeowner Rehabilitation
	Needs Addressed	Housing
	Funding	CDBG: \$96,940 HOME: \$150,000
	Description	The funds under this project will be used to provide homeowner occupied housing rehabilitation services to individuals within the City of Utica.
	Target Date	7/31/2016
	Estimate the number and type of families that will benefit from the proposed activities	We anticipate that 3-4 low/moderate income families in the West Utica section of the target area will be assisted with these funds.
	Location Description	This project will occur within the West Utica section of the Target Area.
	Planned Activities	West Utica Homeowner Occupied Rehabilitation Program
5	Project Name	Rehabilitation of Privately Owned Commercial Buildings
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	ED-5 Rehabilitation - Commercial
	Needs Addressed	Economic Development
	Funding	CDBG: \$100,000
	Description	This Project will involve facade improvements to businesses located in a selected commercial corridor of the Target Area.
	Target Date	3/31/2016
	Estimate the number and type of families that will benefit from the proposed activities	Families will not necessarily receive direct benefit from this project; however we anticipate 4 businesses receiving assistance, which will provide an indirect benefit to families living in the residential areas surrounding the commercial district. The area surrounding the commercial district is predominately low/moderate income households with significant concentrations of racial and ethnic minorities.
	Location Description	Bleecker Street Commercial District
Planned Activities	Bleecker Street Facade Improvement Program	
6	Project Name	Non-Residential Historic Preservation
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	ED-6 Historic Preservation
	Needs Addressed	Community Development

	Funding	CDBG: \$40,000
	Description	Activities associated with this project will aid in the rehabilitation of a historically significant landmark located within the target area and near a predominately low/moderate income residential area.
	Target Date	3/31/2016
	Estimate the number and type of families that will benefit from the proposed activities	No families will receive direct benefit from this project, however families in the nearby, predominately low/moderate residential district will benefit from the preservation of an historic landmark and remediation of a blighted condition.
	Location Description	1-3 Rutger Park, Utica, New York 13501
	Planned Activities	Landmarks Society of Greater Utica Rutger Park Rehabilitation
7	Project Name	Economic Reinvestment Loan Program-Assistance to For-Profits
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	ED-2 Financial Assistance ED-3 Technical Assistance
	Needs Addressed	Economic Development
	Funding	CDBG: \$422,000
	Description	Activities under this project will aim to aid local business develop within the City of Utica through the City of Utica ERP Program and through a technical assistance program aimed at new/existing small businesses.
	Target Date	3/31/2016
	Estimate the number and type of families that will benefit from the proposed activities	Approximately 16 low-moderate income families will directly benefit from the project through job creation requirements associated with the ERP Program
	Location Description	Throughout the commercial areas within the target area.
	Planned Activities	The Special Economic Development Program and the Economic Reinvestment Loan Program (Includes Program Delivery).
8	Project Name	Section 108 Loan Repayment
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	Section 108 Loan Repayment
	Needs Addressed	Administration, Planning and Management

	Funding	CDBG: \$282,725
	Description	Repayment of Section 108 Loan per loan agreement
	Target Date	3/31/2016
	Estimate the number and type of families that will benefit from the proposed activities	No families will receive direct benefit
	Location Description	1 Kennedy Plaza, Utica, New York 13502
	Planned Activities	Section 108 Loan Repayment
9	Project Name	CDBG Administration
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	AM 1-Overall Administration
	Needs Addressed	Administration, Planning and Management
	Funding	CDBG: \$451,127
	Description	This Project will fund Administration Activities for CDBG
	Target Date	3/31/2016
	Estimate the number and type of families that will benefit from the proposed activities	No families will receive direct benefit from this project
	Location Description	1 Kennedy Plaza, Utica, New York 13502
	Planned Activities	CDBG Administration and Indirect Costs
10	Project Name	Fair Housing Project
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	HS-5 Fair Housing
	Needs Addressed	Housing
	Funding	CDBG: \$5,000
	Description	Activities under this project will aim to assist families with fair housing related concerns and individuals with fair housing training.
	Target Date	3/31/2016

	Estimate the number and type of families that will benefit from the proposed activities	It is estimated that 25 families (or individuals) will benefit from the training and supportive services provided by this activity.
	Location Description	Within the Consolidated Plan Target Area. Training will likely occur within City Hall, located at 1 Kennedy Plaza, Utica, New York 13502
	Planned Activities	CNY Fair Housing Council Training and Support Services Activity
11	Project Name	Rental Rehabilitation
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	HS-3 Rental Housing Rehabilitation
	Needs Addressed	Housing
	Funding	HOME: \$262,233
	Description	Rental Rehabilitation for housing development in West Utica target neighborhood. Designated for CHDO Set-Aside
	Target Date	11/30/2016
	Estimate the number and type of families that will benefit from the proposed activities	We anticipate 5 low/moderate income households will receive access to or improvement on affordable rental housing within the West Utica portion of the target area.
	Location Description	West Utica Portion of the Target Area
	Planned Activities	Rental Rehabilitation Activity
12	Project Name	CHDO Operations
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	AM-2 Special Planning/Management
	Needs Addressed	Administration, Planning and Management
	Funding	HOME: \$15,000
	Description	Funds committed to aid CHDOs with operational costs.
	Target Date	3/31/2016

	Estimate the number and type of families that will benefit from the proposed activities	While no families will receive direct benefit through this project, the activities funded will help to sustain CHDOs within the City of Utica and will therefore result in eventual benefit to countless families
	Location Description	Johnson Park Center - 26 Johnson Park, Utica, New York 13501 The Homeownership Center - 1611 Genesee Street, Utica, New York 13501
	Planned Activities	Johnson Park Center and UNHS CHDO Operations Activities
13	Project Name	HOME Administration
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	AM 1-Overall Administration
	Needs Addressed	Administration, Planning and Management
	Funding	HOME: \$47,000
	Description	Project will be linked to City of Utica HOME Administration Costs
	Target Date	3/31/2016
	Estimate the number and type of families that will benefit from the proposed activities	No direct benefit to families
	Location Description	1 Kennedy Plaza, Utica, New York 13502
	Planned Activities	HOME Administration
14	Project Name	ESG 15 Utica
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	HO-1 Operations and Support HO-2 Prevention and Rehousing AM 1-Overall Administration AM-2 Special Planning/Management
	Needs Addressed	Homelessness
	Funding	ESG: \$197,507
	Description	Project for allocation of Emergency Shelter Grant funds for 2015-2016.
	Target Date	3/31/2016

	Estimate the number and type of families that will benefit from the proposed activities	Approximately 95 families will receive rental assistance and approximately 315 will receive other homeless assistance including transitional and emergency shelter housing
	Location Description	<ul style="list-style-type: none"> • Administration and Special Administration - 1 Kennedy Plaza, Utica New York 13502 • Johnson Park Center Rapid Rehousing & Emergency Shelter - 26 Johnson Park, Utica, New York, 13501 • Utica Center for Development Rapid Rehousing - 726 Washington Street, Utica, New York 13502 • Kids Oneida (Evelyn's House Transitional Housing) - 10 Barton Ave, Utica, New York 13502 • John Boscoe House (Transitional Housing) - 425 Lafayette Street, Utica, New York 13502 • Hall House & New Horizons (Emergency Shelters) - Administrative Offices: 1000 Cornelia Street, Utica, New York 13502
	Planned Activities	<ul style="list-style-type: none"> • Administration and Special Administration (HMIS Collection) • Johnson Park Center Rapid Rehousing Program • Johnson Park Center Homeless Housing Program for women and families • Utica Center for Development Rapid Rehousing • Evelyn's House Transitional Housing for young homeless women with children/expecting mothers • John Boscoe House Transitional Housing for homeless young men • Hall House Emergency Shelter for women who are victims of domestic violence • New Horizons Emergency Shelter for young women
15	Project Name	New Construction Rental Housing
	Target Area	Consolidated Plan (CP) Target Area
	Goals Supported	HS-1 Housing Construction
	Needs Addressed	Housing
	Funding	HOME: \$500,000

Description	This project will fund the construction of approximately 48 new, safe, and affordable rental units in the Cornhill neighborhood.
Target Date	12/31/2016
Estimate the number and type of families that will benefit from the proposed activities	Approximately 48 low-moderate households, ranging from small or single person to large family households, will have new access to affordable rental housing within the Cornhill Neighborhood
Location Description	Scattered site project throughout the Cornhill neighborhood.
Planned Activities	Roosevelt Residences

AP-50 Geographic Distribution – 91.220(f)

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

The majority of the City’s allocation of federal entitlement funds during the 2015 – 2019 Consolidated Plan will be directed and concentrated into the Consolidated Plan (CP) Target Area, a map of which appears in previous sections of this Plan. The CP Target Area encompasses portions of East Utica, Lower East Utica, Cornhill, Downtown, the Center City neighborhood and West Utica. As noted in earlier sections of the Plan, the neighborhoods with the highest concentration of minority residents are Cornhill and West Utica and the CP Target Area certainly includes both of those neighborhoods.

For the past several years, the City has been concentrating efforts, and funding, in several key districts or corridors, including Bagg’s Square, Bleecker Street/International Row, the Brewery District and the Oneida Square – Genesee Street Downtown district. All four of those areas are also included within the CP Target Area.

Geographic Distribution

Target Area	Percentage of Funds
Consolidated Plan (CP) Target Area	90

Table 57 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

The reason for selecting the Consolidated Plan (CP) Target Area as a geographic area in which to allocate the majority of federal entitlement funds is pure and simple. Following the Community Needs Assessment, the City of Utica submitted an application to the United States Department of Housing & Urban Development for a Promise Zone application. Within that application, the City identified its highest need area. For a number of factors ranging from unemployment rate to poverty rate to educational attainment to crime rate, the area that now comprises the CP Target Area was identified.

While designation as a Promise Zone may or may not occur for the City of Utica’s CP Target Area, the promise of assembling and submitting the application made it clear to all involved that the area for which such designation was sought required a greater concentration of attention and funding than it had previously been afforded.

Discussion

Affordable Housing

AP-55 Affordable Housing – 91.220(g)

Introduction

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

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

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

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

AP-60 Public Housing – 91.220(h)

Introduction

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

The UMHA owns and operates 999 public housing and subsidized units and is an administrator of a Housing Choice rental assistance program. The following sections of the City's 2015-2019 Consolidated Plan are taken from UMHA's Five Year Agency Plan for 2015-2019 and from extensive coordination and consultation with UMHA staff.

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

The UMHA major priorities for FY 2015 include the following:

1. Achieve fiscal stability in light of reduced federal funding

To ensure fiscal stability, UMHA will diversify its funding base, develop new units, maximize program dollars, reduce operating expenses, increase earned revenue, and cultivate new business-development capabilities and public-private partnerships. The Housing Authority Board of Commissioners has authorized the creation of a tax-exempt wholly-owned and controlled subsidiary which allow the UMHA to seek funding from foundations, corporations, and government agencies which are usually not available to public entities.

2. Expand the supply of new public and affordable housing

The UMHA must create creative and innovative strategies to use alternative sources of funding to meet affordable housing needs in Utica. It is important for the housing authority to develop partnerships with private investors and public agencies to develop affordable and mixed-income housing and as well as mixed use projects that combine housing and other uses.

3. Preserve and continue to make improvements to UMHA's public housing stock

The UMHA is exploring the feasibility of submitting applications to HUD to convert public housing properties into mixed finance developments and applying for Low Income Housing Tax Credits to finance property improvements at these sites. We are actively seeking public and private partners to provide

additional funding for this initiative. In addition, the UMHA is exploring the possibility of participating in the HUD Rental Demonstration Program.

4. Implement continued energy efficiency and green improvements

In FY 2015, the UMHA will begin the implementation of two Energy Performance Contracts. In addition, a second Energy Performance Contract amounting to \$2 million will involve energy conservation improvements to the Chancellor property such as interior and exterior lighting, water conservation, and domestic hot water heater replacement. In addition, the NYS Housing Trust Fund Corporation awarded the UMHA \$300,000 to replace windows in its Chancellor Project-Based Section 8 public housing development which will be implemented in FY 2015.

5. Enhance the quality and delivery of maintenance services

In order to improve the quality of life of residents, it is important that the UMHA must provide maintenance and repair services to our developments in a more expeditious manner. The UMHA will explore methods to increase unit turnaround time, continue to automate work order processing, provide customer follow-up monitoring of work orders, enhance preventive maintenance activities, reconfigure senior maintenance positions, and upgrade the training of maintenance staff.

6. Continue to implement security improvements to improve safety and reduce crime

In 2015, the UMHA intends to seek additional funding for resident safety initiatives and will help residents organize neighborhood watch and crime prevention education programs. The UMHA Security Department will explore the feasibility of increasing its visibility and interaction with the tenant population to enhance resident engagement and enforce public housing rules.

7. Improve customer service for UMHA residents

In FY 2015, the UMHA intends to ensure that our staff continues to provide a consistent, reliable and professional standard for each interaction with customers, a philosophy which is embedded in our “quality of life management” initiative. In 2015, the UMHA will continue to implement changes to its intake and recertification system by simplifying forms, procedures and other improvements to increase processing time and improve the customer service experience.

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

In FY 2015, the UMHA will consider amending its Grievance Procedure to ensure conformance with 24 CFR Part 966.

In addition, according to requirements of Federal Law, all public housing residents who are not exempt

must perform Community Service or Economic Self-Sufficiency activities for 8 hours each month as a condition of tenancy. The UMHA is considering amending its Community Service Policy to allow various credits for performing community service. During the Annual Recertification Review process the Authority will advise families of their Community Service status.

UMHA will be increasing efforts to enforce this requirement and will be engaging with residents and resident leaders toward this end. UMHA anticipates developing strategies to provide additional assistance to help residents comply with this mandate including:

- Trying to increase the opportunities available through resident association driven activities to fulfill this requirement;
- Providing additional information to residents using letters, posters, and newsletter articles as well as the UMHA website (including UMHA activities that can be used to for Community Service and links to other websites with activities that can be found); and
- Making it easier to document service by working with resident associations to provide receipts for Community Service hours at suitable events/activities.
- Providing community service credits for resident association activities, military services, and other activities. UMHA also will require not complying residents to meet with their Housing Relations staff.

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

This question is not applicable as HUD has designated the Authority as a 'standard performer'.

Discussion

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

Introduction

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

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

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

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

Addressing the emergency shelter and transitional housing needs of homeless persons

In 2015-2016, the City of Utica plans to allocate \$176,694 in Emergency Solutions Grant funding for seven (7) programs administered by five (5) sub-recipient agencies. The programs will assist homeless persons and families and those at imminent risk of becoming homeless. Given the very nominal amount of funding that the City receives, spread among six different programs which will address the needs of chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth.

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

- **Hall House** (\$39,699) to operate a shelter for female victims of domestic violence and their children.
- **Johnson Park Center** (\$21,621) to continue funding for the emergency/transitional housing program for females who may have been ex-offenders or substance abusers and the chronically homeless.
- **New Horizons** (\$17,191) to operate a 14-bed transitional housing facility for females between 16 and 21 that are unable to return to their homes.
- **Evelyn’s House** (\$14,532) to operate a 7-bed shelter for pregnant and parenting teenage

mothers.

- **John Bosco House** (\$17,191) to operate a 6-bed transitional housing facility for homeless young, single men.
- **Johnson Park Center** (\$53,168) to operate the rapid-rehousing and homelessness prevention portion of the program. This component of the City of Utica's Emergency Solutions Grant complies with the minimum 40% rapid-rehousing requirement; JPC will operate a security deposit program which will help those individuals and families at imminent risk of becoming homeless with assistance in securing new housing.
- **Utica Center for Development** (13,292) to operate their rapid re-housing program. The program will rapidly rehouse veterans and their families. This is the first year that the center for development has applied for funding.

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

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

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

Foster Care (youth aging out)

Oneida County DSS discharge planning protocol for youths leaving the foster care system requires the

identification of any community and/or family resources for said youths. For youths being discharged to a relative or other caretaker, DSS reviews the safety of the home in which the youth is to be discharged, identifies sources of income for the caretaker(s), assesses the needs of the youth after discharge, and identifies available resources regarding these needs. For discharges into independent living, the County ensures that the youth is discharged into an appropriate residence. Oneida County now has access to CoC-developed transitional housing programs for both single and parenting female youth age 16-21. If an appropriate residence is unavailable, the youth is referred for preventive housing services. The County also identifies sources of income and other support resources for the youth upon discharge. The County also performs an assessment of youth safety and needs upon discharge. Available services are identified based on identification of needs.

Health Care

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

Mental Health

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

Corrections

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

Discussion

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

Introduction:

Actions it planned to remove or ameliorate the negative effects of public policies that serve as barriers to affordable housing such as land use controls, tax policies affecting land, zoning ordinances, building codes, fees and charges, growth limitations, and policies affecting the return on residential investment

The Year One Actions planned for removing barriers to affordable housing are:

- Begin process of updating the 2005 Residential Market Potential (Zimmerman/Volk study) to identify the current market potential and feasibility studies for priority buildings, to identify a housing strategy and to assist the City to attract both developers and funders by seeking a consulting team through complete bidding;
- Begin making changes to its zoning code to promote the creation of new affordable housing through a grant received from the State of New York for a zoning code update;
- Work with at least one new or existing developer to identify a site for development of affordable housing, with priority on a special needs developer;
- Develop a HOME funded project to provide energy improvements to rental housing through comprehensive rehabilitation;

Discussion:

AP-85 Other Actions – 91.220(k)

Introduction:

Actions planned to address obstacles to meeting underserved needs

Like most governmental entities, the most significant obstacle to meeting the needs of its most destitute populace is the lack of funding and resources. As noted in earlier sections of this Plan, considerable planning has been done in the City of Utica over the past several years. Considerable public outreach has been conducted as part of the many planning efforts. As this point, implementation of the goals and objectives of these various plans is the necessary next step, though it is also the most closely of the steps in most cases.

In terms of its fiscal health, the City of Utica has begun to turn the corner. Four years ago, the City of Utica was desperately close to having a State control board take over the City's finances. However, tough decisions were made – significant reductions in the number of City employees (particularly in the police, fire and public works departments) were made, taxes and fees were raised. Four years later, the taxable assessed value of the City has grown, sales tax revenues are exceeding expectations/projections, fewer properties are being taken through tax foreclosure, the population is growing rather than shrinking and the City budget has posted modest surpluses.

These improvements to the City's fiscal health are now allowing the City to address its own underserved needs. For the first time in several years, the City Common Council is now considering bonding within limits for a capital improvement program; such funding will address infrastructure needs that have been deferred for far too long.

As its fiscal health continues to improve, the City will be in a far better position to address other underserved needs throughout the community. However, the City will continue to leverage its limited resources against other sources of funding so as to maximize impact, particularly in the CP Target Area.

Actions planned to foster and maintain affordable housing

The City of Utica has a number of actions planned within the first year Action Plan to foster and maintain affordable housing units. The most substantial action is the development of Roosevelt Residences in association with Action Plan Goal HS-1 Housing Construction. This project is slated to begin in the summer/fall of 2015 and will develop approximately 48 units of affordable rental housing in the Cornhill neighborhood. Additionally, the City of Utica is also planning a substantial amount of funding for both rental and homeowner occupied rehabilitation within the next year (Action Plan Goals AP HS2 Homeowner Rehabilitation and HS3 Rental Rehabilitation) Both the homeowner rehabilitation and rental rehabilitation projects will be focused on the West Utica portion of the Target Area, a section which has very affordable housing with regard to rental rates, but also has a distressed housing stock in

need of substantial rehabilitation.

Actions planned to reduce lead-based paint hazards

In conjunction with the maintenance of affordable housing, the City of Utica plans to reduce lead-based paint hazards with through the Homeowner Occupied Rehabilitation and Rental Rehabilitation programs references above. (Action Plan Goals AP HS2 Homeowner Rehabilitation and HS3 Rental Rehabilitation) For these two projects, the organization carrying out the project will be required to do lead risk assessments on all units and remediate any lead based paint hazards. Additionally, the City of Utica will work throughout the 2015-2016 program year with partners to develop a plan for comprehensive lead hazard reductions to be implemented in the following program year. Partners will include, but not be limited to, the Community Foundation, The HomeOwnership Center, and the Oneida County Department of Health.

Actions planned to reduce the number of poverty-level families

Section SP-70 of this 2015 – 2019 Consolidated Plan includes a comprehensive anti-poverty strategy, including a laundry list of goals and subgoals that will guide our actions over the next five years.

In the immediate next year, during the 2015 – 2016 program year, the City of Utica will actively work to develop incubators and support social enterprise development which is subgoal #3 of Goal #1 – Facilitate Employment. This work will continue to focus largely in the four districts that the City has focused on for the past several years – Bagg’s Square, the Brewery District, Bleecker Street/International Row and the Oneida Square – Genesee Street Downtown District. The incubators will likely focus on arts, as well as the diverse and vast immigrant and refugee populations that call the City of Utica home now.

Additionally, in those four districts, the City will continue to develop a comprehensive brand to maximize their assets and amenities. Included with the brand will be marketing strategies for each district. This is subgoal #1 of Goal #2 – Increase Economic Activity. Incremental steps will also be taken in the first year of the Consolidated Plan to upgrade road, water, sewer and other important infrastructure throughout the CP Target Area in accordance with subgoal #2. The City will also continue to organize these commercial districts to re-engage and empower the stakeholders within those districts in order to fulfill subgoal #3.

Housing will continue to be a priority for the City of Utica, particularly in the CP Target Area, which will further Goal #6 of the City’s anti-poverty strategy. All three subgoals will be actively advanced in the 2015 - 2016 program year.

Actions planned to develop institutional structure

Section SP-40 Institutional Delivery Structure noted that one of the City’s greatest struggles in

addressing gaps in the structure is limited capacity to 'unite efforts and provide adequate staff and resources to meet the ever growing and changing needs of the residents while trying to grow and sustain operations.'

Unfortunately, there is very little that the City can do to overcome the issue of limited capacity and inadequate staff levels. The work described falls to the staff of the City's Department of Urban & Economic Development (UED). This Department is funded entirely by the administrative allowances provided through CDBG, HOME and ESG. As each of those funds continue to dwindle annually, so too does the amount of the allowance provided for administration.

One solution which the City will look to implement in the next few years is to re-consider the manner by which administrative costs are allocated in each of the programs. Many of the duties carried out by the UED staff fall under the definition of 'program delivery' as opposed to program administration. Overhauling the manner by which these duties are accounted for may free up administrative funds, though it is unlikely that enough funding will be freed to add any significant number of new staff people to UED.

Additionally, UED will continue to avail itself to ongoing education courses dealing with the various elements of the administration of federal funds. Such an effort will ensure that the existing staff has the capacity to continue carrying out their duties.

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

The City of Utica during the 2014-2015 program year engaged in a Community Needs Assessment which include roundtable events that brought together public housing, private housing, social service agencies, economic development agencies, area employers, and a number of other key organizations. Through this process it was discovered that there is a real desire for the development of committees to regularly discuss and coordinate community needs and issues. In that vein, and in an effort to enhance coordination between public, private and social service agencies the City of Utica will work with the members of the Housing Roundtable Committee to develop quarterly meetings to engage in planning efforts for increased coordination.

Discussion:

Program Specific Requirements

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

Introduction:

Community Development Block Grant Program (CDBG)

Reference 24 CFR 91.220(I)(1)

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

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

Other CDBG Requirements

1. The amount of urgent need activities	0
2. The estimated percentage of CDBG funds that will be used for activities that benefit persons of low and moderate income. Overall Benefit - A consecutive period of one, two or three years may be used to determine that a minimum overall benefit of 70% of CDBG funds is used to benefit persons of low and moderate income. Specify the years covered that include this Annual Action Plan.	90.98%

HOME Investment Partnership Program (HOME)

Reference 24 CFR 91.220(I)(2)

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

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

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

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

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

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

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

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

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

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

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

Individual program participant records must minimally include data elements required by HUD to complete the ESG Quarterly Progress Report (QPR) and Annual Progress Report (APR) and comply with regulations for mandatory participation in the Homeless Management Information System (HMIS). In addition to supporting documentation of client eligibility for ESG services and assistance, all partners will shall conduct an assessment of the individual participant's ability to benefit from ESG program participation, construct an individualized service plan that is updated quarterly or more frequently; record progress notes that document all contacts with services delivered to participants; and provide documentation of all other ESG-funded services and assistance received by Program participants during their enrollment in the Program.

All files will be maintained to include documents for the following:

HMIS Intake, Financial Assistance Tracking Form*, Stabilization Services Tracking Form*, Exit Form and Checklist of all forms in the case record. Homeless Documentation/Certification, Release of Information, Income Documentation, HH Members documentation, Financial Assistance Request* (Beneficiary Request), Check Request/Purchase Order*, Documentation for Check Request*, Staff Affidavit (Signed by worker& supervisor) Rent Reasonableness*, Lease*, Lead Screening Worksheet*, Habitability Inspection* Case Notes, Other

All ESG sub-recipients/partners must use standardized forms for client intake, service tracking and case closure etc. provided by the City of Utica and the HMIS Lead agency.

All partners agree to maintain all records required by HUD and the ESG Notice

Monitoring: All partners agree to participate fully in ongoing quarterly project monitoring by CITY OF UTICA staff or any agent of The CITY OF UTICA.

Confidentiality – Each ESG partner must conform to HUD HMIS standards to ensure (1) the confidentiality of records pertaining to any individual provided with assistance; and (2) that the address or location of any assisted housing will not be made public, except to the extent that this prohibition contradicts a preexisting privacy policy of the grantee.

Habitability Standards – Partners providing rental assistance with ESG funds will be required to

conduct initial and any appropriate follow-up inspections of housing units into which a program participant will be moving. Submit inspection form and/or habitability standard. Records of HUD on-line staff training certification will be maintained on file by each partner.

Termination Policy in the event that on-going financial assistance to a client needs to be discontinued: In the event that assistance might need to be terminated, the client's case will be reviewed by executive staff to assess whether or not they can receive assistance going forward.

Resumes: Each partner is required to keep resumes on file for each staff member paid with ESG funding.

Conflict of Interest: A City of Utica or Utica ESG Sub-recipient employee may not be assisted by the agency by which they are employed. These applications should be referred to another agency for intake etc. If there are no other agencies that can provide the needed service, the application may be taken by the employee's agency but must be reviewed by the CITY OF UTICA's ESG Program Manager.

Suspension or Termination: The CITY OF UTICA may suspend or terminate payment for the following reasons: Ineffective or improper use of project funds; Failure to expend contract amount in timely fashion; Failure to comply with policies and procedures; Submission of reports which are incorrect or incomplete in any material respect, or; The execution or completion of this program is rendered impossible or infeasible

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

The Continuum of Care has adopted 211 Mid-York as their coordinated system.

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

This year, the City released a Request for Proposals (RFP) in December as usual. A public meeting for input from the community and potential ESG sub-recipients was held on January 8th at City Hall. Applications were due on January 14th. In all we received nine (9) applications from 7 different agencies. A series of planning meetings to select ESG sub recipients in partnership with the CoC were held per the table below:

The CoC steering committee met and decided that a revision of the City's existing ranking criteria would be in everyone's best interest. The following criteria were developed:

Finance & Supporting Documents (15 Points)

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

Activity Proposal (25 Points)

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

Organizational Information (35 Points)

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

Community Partnerships & Program Integration (25 Points)

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

Four (4) members of the CoC board ranked each of the applications separately, and then met to compare & discuss their scores. Members involved were Steve Darman - MV Housing and Homeless Coalition, Chris Lawrence - City of Utica, Tom Labayewski – Hope House and Robin Robinson – United Way of the Valley and Greater Utica.

4. If the jurisdiction is unable to meet the homeless participation requirement in 24 CFR 576.405(a), the jurisdiction must specify its plan for reaching out to and consulting with homeless or formerly homeless individuals in considering policies and funding decisions regarding facilities and services funded under ESG.

The jurisdiction meets homeless participation standards.

5. Describe performance standards for evaluating ESG.

Performance Standards for Emergency Housing/Transitional Housing Programs:

- Number/percent of homeless persons and/or families served by an emergency housing program who exit emergency housing within 30 days.
- Number/percent of homeless persons and/or families served by an emergency housing program who exit emergency housing to a Transitional Housing Program or to permanent (subsidized or unsubsidized) or permanent supportive housing.
- Number/percent of homeless persons and/or families served by an emergency housing program who (if eligible) are connected to mainstream benefits when they exit, including Public Assistance, Medicaid, Food Stamps.
- Number/percent of homeless youth age 16-21 served by a transitional housing program who stay in the program six months or longer.
- Number/percent of homeless youth age 16-21 served by a transitional housing program who are more prepared to live independently when they exit as measured by the number/percent who have completed high school or GED and are either enrolled in college or vocational training or working full or part time.

Performance Standards for Rapid Re-housing programs:

- Number/percent of homeless persons and/or families who are re-housed within 60 days of entering the program.
- Number/percent of homeless persons and/or families served by a rapid re-housing program who (if eligible) are connected to mainstream benefits when they exit, including Public Assistance, Medicaid, Food Stamps.

Discussion:

Appendix - Alternate/Local Data Sources

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

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

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