

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



**HOME INVESTMENT PARTNERSHIPS PROGRAM
AMERICAN RESCUE PLAN**

HOME-ARP ALLOCATION PLAN

DRAFT FOR PUBLIC COMMENT

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VERSION HISTORY

1. First Consultation (ESG Program Selection Committee).....6/8/22
2. Survey Published on Surveymonkey.com.....1/31/23
3. Consultation Letters Sent to Service Providers/Officials/Stakeholders.....2/2/23
4. Survey Closed for Submissions.....2/24/23
5. Published Draft for Public Comment.....3/14/23
6. Conducted Public Hearing.....3/14/23
7. Conclusion of 2-week Public Comment Period.....3/29/23
8. Sent to HUD for Approval.....3/31/23
9. Approved by HUD.....TBD

PUBLIC CONTACT INFORMATION

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EXECUTIVE SUMMARY

The City of Utica, NY has been allocated \$2,428,816 of HOME-American Rescue Plan Act (HOME-ARP) funding from the US Department of Housing and Urban Development (HUD). In order to receive the HOME-ARP allocation, the City must develop a HOME-ARP Allocation Plan that will become part of the City's Annual Action Plan.

To ensure broad input into the HOME-ARP Allocation Plan from stakeholders and the public, the City engaged in consultation, including a virtual consultation session, a letter to various service providing agencies and local/regional government officials, a follow-up letter, an online survey for stakeholders and the general public, a 15-day public comment period, and a public hearing.

The needs assessment and gap analysis identified the following needs and gaps within the City:

1. In February 2022, the annual Point in Time (PIT) count revealed that 219 people were residing in emergency housing, either in shelter or transitional housing. The true number of unsheltered on the streets, in tents or makeshift shelters, or in cars, vans, RVs or campers is unknown.
2. 2015-2019 CHAS Data from HUD reported 5,655 households with incomes at or below 30% AMI are at risk of homelessness in the City.
3. The 2015-2019 HUD CHAS data indicates there are 4,700 renter households with an annual income at or below 30% AMI with a cost burden that are at greatest risk of housing instability.
4. The CHAS data reports that there are 4,050 households with incomes more than 30 and but equal to or less than 50% AMI that are at risk of homelessness in the City because of at least one of the housing problems as defined by HUD.
5. The greatest need for supportive services is in the areas of were mental health services, landlord/tenant liaison, housing search/counseling services, childcare assistance and financial assistance.

To address these needs within the community, the City would explore

1. Utilizing HOME-ARP funds for developing non-congregate shelter units in the form of a "navigation center-style" facility consisting of several cottages on the State Hospital grounds off of Noyes St.
2. The provision of supportive services through expansion of the Emergency Solutions Grant (ESG) program, capacity building in the nonprofit community to ease the delay in completion of new affordable housing units currently in development.
3. The development of new affordable housing units dedicated to serving the homeless populations
4. Establishing a partnership with a service agency to create a tenant-based rental assistance program

The City will solicit applications from developers, service providers, and/or nonprofits to administer eligible activities and/or develop shelter and housing. A Notice of Funds Available (NOFA) will be issued. The NOFA will, at a minimum, specify eligible activities, eligible applicants, minimum and maximum funding amounts, application thresholds, and will provide instructions on how to submit a proposal.

INTRODUCTION

In response to the economic impacts of the COVID-19 pandemic, nearly \$5 billion in HOME Investment Partnerships Grants (HOME) funds were allocated to jurisdictions across the country through the American Rescue Plan (ARP).

The City of Utica was awarded a total of \$2,428,816 in HOME-ARP funds (see Appendix A). These funds may be used for the following activities:

1. Acquisition, rehabilitation, and construction of affordable rental housing
2. Supportive services, homeless prevention services, and housing counseling
3. Acquisition and development of non-congregate shelter
4. Tenant-based rental assistance
5. Nonprofit operating and capacity building assistance
6. Grant administration and planning

Qualifying Populations

HOME-ARP funds may be used to serve four Qualifying Populations:

1. Those that are experiencing homelessness
2. Those at risk of homelessness
3. Those fleeing domestic violence, dating violence, sexual assault, stalking, or human trafficking
4. Populations with high risk of housing instability (including households that are low-income and highly cost-burdened; that have moved two or more times in the last 60 days; and that are living in a hotel/motel)

Complete information on eligible activities and qualifying populations can be found within the United States Department of Housing and Urban Development Notice CPD-21-10.

The City of Utica’s Department of Urban and Economic Development conducted an extensive series of consultations with stakeholders, including individuals/agencies who work directly with households who meet the criteria for the qualifying populations. Additionally, an extensive analysis of the qualifying populations and inventory of existing resources was completed by analyzing data provided from the Homeless Management Information System (HMIS) Database.

This HOME-ARP Allocation Plan outlines the research completed, as well as a summary of the activities that the City of Utica intends to implement with its allocation of HOME-ARP funds.

CONSULTATION

Describe the consultation process including methods used and dates of consultation:

As detailed in the table below and in Appendix B the City completed consultations with the required public and private organizations, as well as other key stakeholders, between June 2022 and March 2023.

Consultations were completed in a combination of virtual meetings with the Continuum of Care (Mohawk Valley Homeless and Housing Coalition), online surveys and a letter campaign soliciting input sent to local/regional service agencies. The City also accepted written comments from consultation participants.

During all consultations, the City described the requirements and scope of HOME-ARP program rules, including funding availability, qualifying populations, and eligible activities, and solicited input and suggestions from key stakeholders.

The input received from these consultations informed the development of the HOME-ARP plan, including the uses of HOME-ARP funds and strategy for distributing HOME-ARP funds. The consultations also assisted the City in identifying existing resources, gaps, and needs of qualifying populations.

List the organizations consulted:

| Agency/Organization | Type of Agency/Organization | Method of Consultation |
|----------------------------------------------|----------------------------------------|------------------------------------|
| Service Agencies | | |
| Catholic Charities | Homeless Service Provider | Letter by Mail |
| Center for Family Life and Recovery | Advocacy and Services | Letter by Mail |
| Central New York Quest, Inc | Advocacy and Services | Letter by Mail |
| City of Utica Section 8 Program | Rental Assistance | Letter by Mail |
| CNY Services | Advocacy and Services | Letter by Mail |
| Community Foundation | Advocacy and Services | Letter by Mail |
| Cornerstone Community Church | Advocacy and Services | In-person meeting / Letter by Mail |
| Empowered Pathways | Advocacy and Services | Letter by Mail |
| Freddie Hamilton | Continuum of Care | Letter by Mail |
| Human Technologies Corp | Advocacy and Services | Letter by Mail |
| ICAN | Homeless Service Provider | Letter by Mail |
| Johnson Park Center | Homeless Service Provider | Letter by Mail |
| Mohawk Valley Community Action | Advocacy and Services | Letter by Mail |
| Mohawk Valley Homeless and Housing Coalition | Continuum of Care | Virtual meeting |
| Municipal Housing Authority | Public housing authority: municipality | Letter by Mail |
| Neighborhood Center, Inc | Advocacy and Services | Letter by Mail |
| NYS Dept of Labor | Public agency: State | Letter by Mail |

| | | |
|--------------------------------------------------------|------------------------------------------------------------------------------------|----------------|
| | Serves all four (4) Qualifying Populations under HOME-ARP | |
| Oneida County Dept of Health | Public agency: County Serves all four (4) Qualifying Populations under HOME-ARP | Letter by Mail |
| Oneida County Dept of Social Services | Public agency: County Serves all four (4) Qualifying Populations under HOME-ARP | Letter by Mail |
| Refugee Center | Fair housing / persons with disabilities (advocacy and services) | Letter by Mail |
| Rescue Mission of Utica | Homeless Service Provider | Letter by Mail |
| Resource Center for Independent Living | Advocacy and Services | Letter by Mail |
| Salvation Army of Utica | Homeless Service Provider | Letter by Mail |
| St. Margaret's Corporation | Homeless Service Provider | Letter by Mail |
| United Cerebral Palsy | Advocacy and Services | Letter by Mail |
| United Way of the Mohawk Valley | Continuum of Care coordinating agency | Letter by Mail |
| Veterans' Outreach Center/Utica Center for Development | Homeless Service Provider | Letter by Mail |
| YWCA of the Mohawk Valley | Existing providers of services for domestic violence | Letter by Mail |
| Catholic Charities | Homeless Service Provider | Letter by Mail |
| Center for Family Life and Recovery | Advocacy and Services | Letter by Mail |
| Private Developers / City Stakeholders | | |
| Bank of Utica | Investment Funding Source | Letter by Mail |
| Greater Utica Chamber of Commerce | Investment Funding Source | Letter by Mail |
| Lahinch Group | Investment Funding Source | Letter by Mail |
| Mohawk Valley Edge | Investment Funding Source | Letter by Mail |
| Pratt MWPAI | Educational Institution | Letter by Mail |
| UNHS Homeownership Center | Housing Rehabilitation Organization | Letter by Mail |
| Public Safety | | |
| Utica Police Dept | Public Safety | Letter by Mail |
| Utica Fire Dept | Public Safety | Letter by Mail |
| Common Council | | |
| District 1 - Katie Aiello | Local Government Elected Official | Letter by Mail |
| District 2 - Robert Burmaster | Local Government Elected Official | Letter by Mail |

| | | |
|--------------------------------------------|-----------------------------------|-------------------------------|
| District 3 - Celeste Friend | Local Government Elected Official | Letter by Mail |
| District 4 - Frank Meola | Local Government Elected Official | Letter by Mail |
| District 5 - Venice Ervin | Local Government Elected Official | Letter by Mail |
| District 6 - Joseph Betrus, Jr. | Local Government Elected Official | Letter by Mail |
| Council at Large - Frank DiBrango | Local Government Elected Official | Letter by Mail |
| Council at Large - Mark Williamson | Local Government Elected Official | Letter by Mail |
| Council at Large - Samantha Colosimo Testa | Local Government Elected Official | Letter by Mail |
| Common Council President - Michael Galime | Local Government Elected Official | Letter by Mail |
| Neighborhood Associations | | |
| Baggs Square Association | Neighborhood Association | Contact by Facebook Messenger |
| East Utica Concerned Citizens | Neighborhood Association | Contact by Facebook Messenger |
| South Utica Neighborhood Association | Neighborhood Association | Contact by Facebook Messenger |
| West Utica Neighborhood Association | Neighborhood Association | Contact by Facebook Messenger |

A summary of themes that informed the activities, preferences, methods of prioritization, and referral processes is outlined below. Notes from virtual meetings/focus groups/surveys can be found in Appendix B.

Summary of Feedback Received from Consulted Organizations

ESG Grant Services/Supportive Services

1. 30% of survey responses indicated that services provided by agencies partially subsidized by the Emergency Solutions Grant are in need of additional support. This includes Rapid Rehousing, Homelessness Prevention and Shelter Operations.
2. Multiple respondents highlighted the need for continued, long-lasting supportive services and targeted case management for vulnerable populations who transition to independent living, especially those involved in existing programs that match special needs populations with available housing.
3. Several individuals noted that targeted case management is necessary to sustainably prevent -

and respond to crises that can lead to - housing instability for qualified populations who have transitioned to independent living.

4. There are recently completed and pending rental complexes that include set-aside units for special needs and vulnerable populations. These households need access to and delivery of comprehensive support services to ensure their ability to live independently.

Need for Non-Congregate Shelter

The City's primary preference, in addition to Multiple survey responses, is to address the ongoing need to increase capacity in non-congregate shelters. There is currently an identified potential site at the State Hospital Campus in West Utica for non-congregate shelter beds.

Lack of Affordable Housing

There was a consistent reference to the general lack of affordable rental housing, with the greatest need below 30% of the area median income (AMI). There was a consensus that the qualifying populations typically require housing that is affordable at or below 80% of AMI either through deep capital subsidy or rental subsidy.

Capital Funding

The Utica Housing Study, completed in 2022, described a need for deep subsidies to private developers to create new homeowner housing at affordable prices, as development costs for a new home without subsidy could be as much as \$300,000.

Rental Assistance

22% of survey responses indicated that administering rental assistance voucher programs for vulnerable populations were necessary for identifying and supporting members of vulnerable populations who are able to live in independent settings.

Permanent Supportive Housing is a Priority of the Continuum of Care

The Oneida County Continuum of Care noted that permanent supportive housing for the homeless is a priority for the following populations:

1. Unaccompanied youth / individuals exiting foster care
2. Veterans
3. Survivors/ those fleeing domestic violence
4. Chronic homeless
5. Elderly/aging

Most of the permanent supportive housing resources in the county currently require linkage to a rental assistance resource (tenant-based or project-based voucher, HOME Program Construction Loan). However, an alternative approach has proven successful whereby sufficient capital subsidy (ex. Rental Rehabilitation Programs) is utilized to allow a property owner to provide units at restricted rents that are affordable to households with incomes at and below 80% AMI.

Victims of Domestic Violence Need Additional Housing Options

The New York State Office for the Prevention of Domestic Violence identified housing for victims of domestic violence as a priority. They identified rental assistance as an approach to enhancing housing support to this qualifying population.

Public Participation

The survey was created using SurveyMonkey.com, and featured nine specific questions meant to derive what sector the participant was affiliated with (Service agency, Fair Housing Organization, General Public, etc.) Each question asked participants to highlight different aspects of their perception of Homelessness in Utica, NY and the potential solutions they envision. Some questions were intended to keep participants within a set of limited responses where possible in order to adhere to activities considered eligible under HOME-ARP guidelines. Others allowed the public to give responses in order for us to best gauge not only their ideas for solutions, but also the potential for additional efforts to combat homelessness through other programs if able.

Efforts to Broaden Public Participation

After the initial round of letters sent to service agencies, local elected and appointed officials, and City stakeholders began and a public survey was launched on February 2, 2023, an effort was made to broaden public participation by a follow-up email campaign to remind agencies/officials/stakeholders to respond but also to share the location of the public survey on their affiliated social media accounts. The number of survey responses did begin to increase quickly after this effort.

Public Comments and Recommendations Received

Note: this section will be completed following the fifteen-day public comment period and public hearing.

Public Comments and Recommendations Not Accepted and Reasons Why

No public comments or recommendations were not accepted, as no responses were submitted with ill-intent. All comments received were treated as genuine suggestions, though some are believed to be incomplete thoughts that may not hold any potential solution.

Needs Assessment + Gaps Analysis

Describe the size and demographic composition of qualifying populations within the PJ's boundaries.

Size and Demographic Composition of Qualifying Populations

The Oneida County Continuum of Care is coordinated by the Mohawk Valley Housing and Homeless Coalition, a coalition of over 50 organizations working collaboratively to meet the needs of families and individuals experiencing homelessness. The United Way serves as the County's Homeless Management Information System (HMIS) Lead Agency. As such, it is responsible for collecting and maintaining all HMIS data, reporting, and related training. To track homelessness, the Continuum of Care uses data from Point-in-Time (PIT) count and the HMIS database.

The Continuum of Care's PIT count for February 23, 2022 found that there were 244 people experiencing homelessness. Within this group, 184 people (75%) were living in emergency shelters, 35 people (15%) were living in transitional housing, and 25 (10%) were unsheltered.

| | | |
|--|-------------------|----------------------|
| | Emergency Shelter | Transitional Housing |
|--|-------------------|----------------------|

| Household Type | Number | Percent | Number | Percent |
|-------------------------------------------------------------|------------|---------|-----------|---------|
| Households without children | 112 | 85% | 12 | 63% |
| Households with at least one child and one adult | 20 | 15% | 7 | 37% |
| Households with only children | 0 | 0% | 0 | 0% |
| Total Homeless Households | 132 | | 19 | |
| Persons in each household type | | | | |
| Persons in households without children | 121 | 66% | 13 | 37% |
| Persons age 18-24 | 14 | 12% | 1 | 8% |
| Persons over age 24 | 107 | 88% | 12 | 92% |
| Persons in households with at least one adult and one child | 63 | 34% | 22 | 63% |
| Children under age 18 | 32 | 51% | 13 | 59% |
| Persons age 18-24 | 4 | 6% | 4 | 18% |
| Persons over age 24 | 27 | 43% | 5 | 23% |
| Total Homeless Persons | 184 | | 35 | |

Table 1. Sheltered Homeless Population
(source: Oneida County Continuum of Care Point-in-Time Count conducted February 23, 2022)

QP1 – Those Experiencing Homelessness

Housing and Shelter Units

When examining the shelter options through the numbers in the gaps analysis table, there appear to be adequate resources. However, when considering the gaps analysis with context from the consultations, nuances emerge.

While in typical times, the City of Utica has adequate beds and units to meet the needs of family households experiencing homelessness, the needs since the pandemic have revealed the need for additional options, including shelter types. Prior to 2019, there were a surplus of beds and units available to provide families with emergency shelter and transitional housing services. The February 23, 2022 PIT survey counted 27 sheltered family households (including transitional housing units), a level of need addressed by the County's 4 units of transitional housing (6 beds), and 8 emergency shelter places (69 beds).

For homeless adults without children, the data indicate that resources are extremely tight and are not available to meet the long-term housing needs. In the City of Utica, specifically, there are 149 beds for homeless adults in emergency shelters and another 10 in transitional housing. While these services respond to critical short-term housing needs, they do not provide longer-term housing stability that the City believes is essential to providing the housing stability essential to meeting the needs of homeless adults.

A gap analysis of the total number of rapid rehousing, permanent supportive housing, and other permanent housing shows that long-term housing options are limited when compared to the number of unsheltered households. Additional rapid rehousing, permanent housing services, and other non-congregate housing opportunities are critical – having surplus emergency shelter beds is important to be able to meet last minute needs and they should not be employed as long-term housing solutions due to limited permanent and rapid rehousing options for adults.

As noted in the consultation findings, stakeholders have cited a need for non-congregate shelter units,

particularly for individuals and households who may have unique medical needs. Both the Utica Housing study and the City’s Consolidated Plan emphasize the need for more transitional and permanent housing units (including housing specifically for veterans). The 2020-2024 City Consolidated Plan also identified a need for housing that is aware of accessibility accommodations necessary for veterans with disabilities or veterans who are ineligible for housing that requires an honorable discharge.

Other providers and members of the Continuum of Care concurred with the increase in demand among this population. A growing proportion of sheltered homeless households with elderly and disabled individuals are dependent on fixed incomes like Supplemental Security income and Social Security Disability Insurance. Permanent housing units, including assisted living facilities for elderly and disabled persons, must be flexible to the fixed incomes of the growing population of elderly renters and housing voucher recipients.

There is also a need for housing services that support the physical accessibility and mental health needs of individuals and families who are elderly or have disabilities. The City of Utica’s 2020-2024 Consolidated Plan reported that substance abuse, criminal records, and mental illness are among the largest barriers to permanent housing and independent living for single adults. More wrap-around services for mental illness and disabilities in housing support are critical in transitioning more households to permanent housing.

Finally, the City of Utica lacks transitional housing units dedicated to unaccompanied youth, including parenting youth; there is also a lack of transitional housing units for parenting youth aged 18-24.

Case Management

Beyond shelter, intensive case management was identified as a service need for the Homeless qualifying population, including those in integrated housing settings. Additionally, aside from Oneida County’s Veterans’ Services program, only one private service agency – the Utica Center for Development / CNY Veterans’ Outreach Center – operates within the City of Utica, highlighting the need for more centralized veteran services for residents.

Sheltered Homeless Populations

During the same October 2022 PIT count, the Oneida County Continuum of Care counted 219 sheltered homeless people (151 households) - 112 households were in emergency shelters and 12 households were living in transitional housing. In both emergency shelters and transitional housing, 66% identified as males and 33% identified as females, with 1% identifying as transgender or gender non-conforming.

Unsheltered Homeless Populations

Those identified as unsheltered are generally those living on the streets and in public places not meant for human habitation. These places can include parks, libraries, metro stations, shopping malls, churches, soup kitchens, and other public gathering spaces. Surveys of unsheltered persons are conducted by teams deployed into the community to locate and count them. There were 25 unsheltered homeless persons (24 households) counted and zero unsheltered families counted during the February 23, 2022 PIT count.

Emergency Shelter

According to the February 23, 2022 PIT count, of those persons living in emergency shelters, approximately 85% were in households with adults only and 15% were in families with children. For those in adult only households, 88% were over the age 24; whereas in families with children, 43% were over the age of 24.

Among those living in emergency shelters, 14 persons were chronically homeless, 17 were severely mentally ill, and 6 were veterans. 50 youths in emergency shelters were under the age of 24, with 32 under the age of 18.

Further analysis of PIT subpopulation surveys showed a large discrepancy between males and females (66% and 33%, respectively). 65% of persons living in emergency shelters identified as white, with 25% identifying as Black or African American (see Table 2).

Transitional Housing

According to the February 23, 2022 PIT count, most persons living in transitional housing were in households without children (66%), and 34% were in households with at least one child and one adult; 51% of individuals in these households were children under 18. Individuals in households without children – including singles, couples without children, and groups of adults – comprised 37% of those living in transitional housing; One adult was in the 18–24-year range and 12 persons were over the age of 24. Within the group living in transitional housing, 47% identified as White, 27% identified as Black or African American, and 26% identified as being of multiple races.

| | Emergency Shelter | | Transitional Housing | |
|-------------------------------------------|-------------------|---------|----------------------|---------|
| Ethnicity | Number | Percent | Number | Percent |
| Hispanic/Latino | 19 | 10% | 4 | 13% |
| Non-Hispanic/Non-Latino | 165 | 90% | 31 | 87% |
| Total | 184 | | 35 | |
| Gender | | | | |
| Female | 60 | 33% | 18 | 51% |
| Male | 122 | 66% | 17 | 49% |
| Transgender | 2 | 1% | 0 | 0% |
| Gender Non-conforming | 0 | 0% | 0 | 0% |
| Total | 184 | | 35 | |
| Race | | | | |
| White | 120 | 65% | 7 | 47% |
| Black or African American | 46 | 25% | 4 | 27% |
| Asian | 2 | 1% | 0 | 0% |
| American Indian or Alaska Native | 0 | 0% | 0 | 0% |
| Native Hawaiian or Other Pacific Islander | 0 | 0% | 0 | 0% |
| Multiple Races | 16 | 9% | 4 | 26% |
| Total | 184 | | 15 | |

Table 2. Demographics of Sheltered Homeless Population (source: Oneida County Continuum of Care Point-in-Time Count conducted February 23, 2022)

Homeless Youth

During the February 23, 2022 PIT count, there were 0 households of unaccompanied youth between the ages of 18-24.

QP 2 – At-Risk of Homelessness

In Oneida County, the number of households with incomes below 30% AMI has come down slightly in recent Years, from 5,905 in the 2012-2016 Comprehensive Housing Affordability Strategy (CHAS) to 5,655 in the 2015-2019 CHAS study. As of 2019, approximately 25% of households had incomes equal to or below 30% AMI. Of these households, 83% were renters and 17% were homeowners (see Figure 1 below). This data was collected prior to the pandemic, so the numbers may not be accurate to current trends.

According to 2015-2019 CHAS data, 38% of all households in Oneida County were living in inadequate conditions. However, it is difficult to quantify the individuals and families in these unique scenarios due to limited data collection.

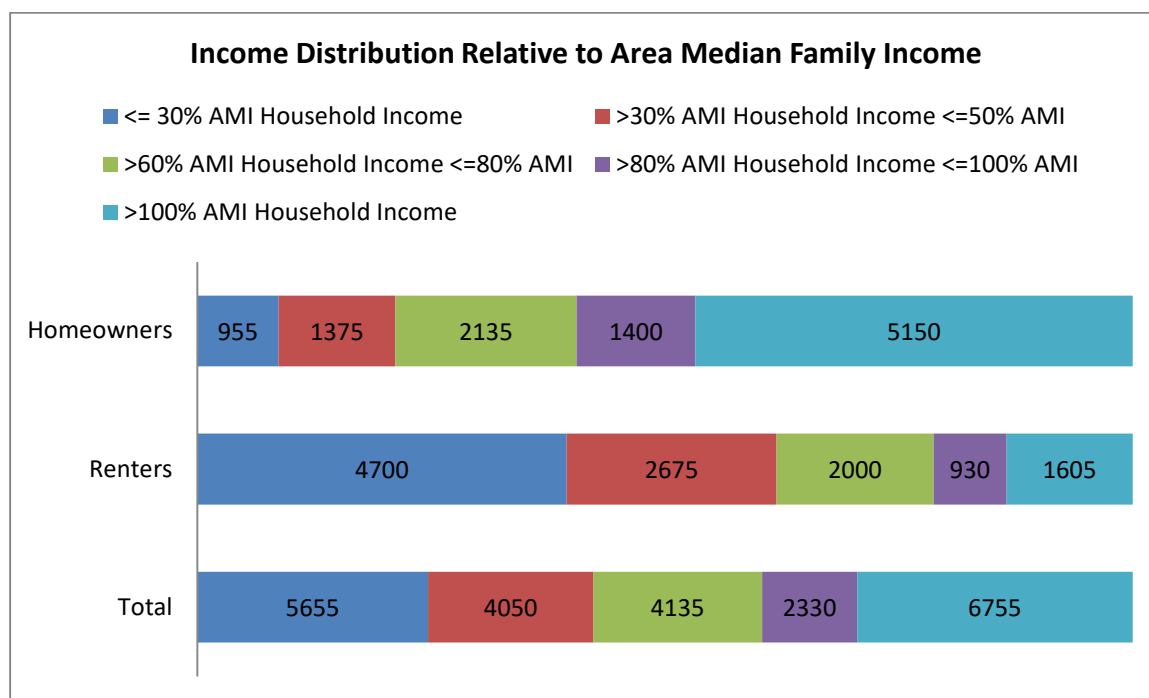


Figure 1. Income Distribution Relative to HUD Area Median Family Income (source: United States Department of Housing and Urban Development Comprehensive Housing Affordability Strategy data (2015-2019 ACS))

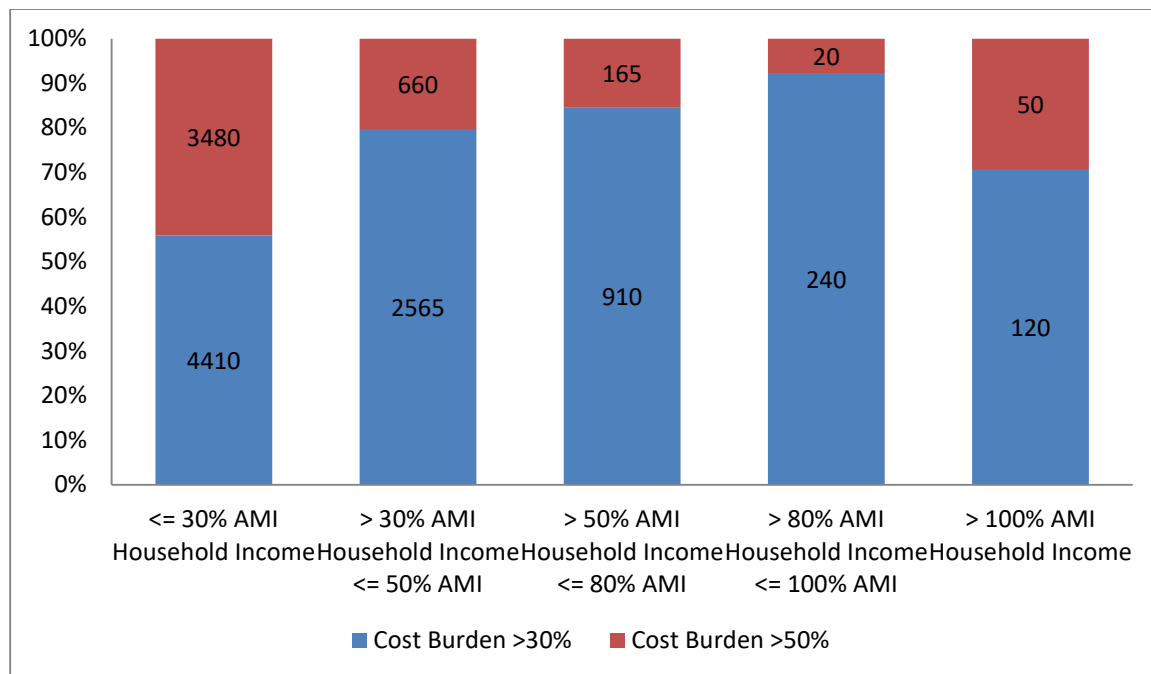


Figure 2.

Housing Cost Burden by Income, Oneida County (source: United States Department of Housing and Urban Development Comprehensive Housing Affordability Strategy data (2015-2019 ACS))

Affordable Rental Housing

The City of Utica lacks enough rental homes priced for extremely and very low-income renters. There are more extremely low-income renter households in the City than affordable rental units. This reiterates the lack of supply for the deeper affordable housing and the limited diversity of supply in the City for those in most need.

Housing for Specific Populations

There are 1441 individuals who are on the Section 8 waitlist maintained by the City of Utica Section 8 Program. One limitation of the dataset is that disability needs of waitlisted households are not tracked, preventing an accurate gap analysis for this population type.

Consultations with community service providers in the Continuum of Care also emphasized the need for housing options specifically for youth aging out of foster care (Catholic Charities).

Emergency Financial Assistance

Residents in these two qualifying populations would benefit from increased emergency housing assistance resources; for those who are facing eviction or have recently been evicted, rental, security deposit, utility, and legal assistance resources can be critical.

Supportive Services

Case management can help households navigate the complex housing resource ecosystems.

Lack of Sufficient Resources or Support Networks

Personal support networks include extended family, friend or faith-based organizations that can provide temporary or permanent housing opportunities that reduce a person needing to go to an emergency shelter. Households without personal support networks are at-risk of becoming homeless, particularly 8%

when experiencing cost burdens or other housing problems. One way to examine this sub-population is to look at the scope of households who have applied for assistance through Oneida County's Emergency Rental Assistance Program (ERAP), which provides funding for households most at risk of eviction.

QP3 - Fleeing, or Attempting to Flee, Domestic Violence, Dating Violence, Sexual Assault, Stalking, or Human Trafficking, as Defined in 24 CFR 91.5

According to the February 23, 2022 PIT count, 22 respondents were survivors of domestic violence. Per the YWCA, 505 petitions for protection have been sought with their assistance in 2022, or roughly the equivalent of 42 petitions per month. This data is for all of Oneida County - not just the City of Utica – but shows the scope of the problem, especially when considering that roughly 50% of domestic violence cases go unreported (source: usafacts.org).

A 2021 study ("Improving Safe Housing Access for Domestic Violence Survivors Through Systems Change, Housing Policy Debate") identified barriers for survivors beginning the process in seeking housing needs.

The study reported that admission into housing services could be exclusionary for victims of domestic violence. As many courts, including family court, are still experiencing backlogs as a result of the COVID-19 pandemic, it is likely more difficult for Oneida County residents to attain protective orders from the courts than previous years. These barriers inhibit a survivor's ability to seek immediate safety and housing in the County.

The study also reported that individuals experiencing homelessness also report higher rates of DV than the general population, and in fact DV precipitates homelessness for many women. With limited availability in units for survivors or policies to ensure survivor protection in housing, survivors are vulnerable to losing housing support from providers or safety from immediate harm.

Domestic violence survivors in Oneida County often encounter barriers when searching for safe and secure housing. For residents fleeing domestic violence or similar threats, access to financial resources to support a safe move is limited; leaving under duress can limit the amount of time and resources available to ensure safe and secure housing.

QP 4 - Populations with high risk of housing instability (including households that are low-income and highly cost-burdened; that have moved two or more times in the last 60 days; and that are living in a hotel/motel).

According to HMIS data for the year 2022, there were 1264 adults with disabilities needing housing support services. Of the 1264 adults, 3% reported having a disability and had the longest length of stay in housing among older adults. Of the older adults entering homeless situations, 23% stayed in shelters between 31 to 60 days, 14% stayed between 61 to 90 days, and 11% staying longer than 91 days. While the data highlights the state of older adult housing before the pandemic, the data indicates the growing need in the City for increased permanent housing support and residency services for older adults.

According to the CHAS (2015-2019), there are 5,655 households with incomes equal to or less than 30% of HUD Area Median Family Income (HAMFI) who are severely cost burdened (spend more than 50% of their income on housing costs). According to the CHAS, there are 9,705 households with incomes equal to or less than 50% of HAMFI.

Per HUD standards, a household that spends between 30% and 50% of their monthly income on housing is considered “housing cost burdened,” whereas a household that spends more than half of its income on monthly housing expenses is considered to be experiencing “severe housing cost burden.” Per 2015-2019 CHAS data, 17% of households were housing cost burdened or severely cost burdened in Oneida County (see Exhibit D).

Lower-income households in Oneida County experienced cost burdens at higher rates and more severely compared to higher-income households. 34% of extremely low-income households were either cost burdened (19%) or severely cost burdened (15%) (see Figure 2 below).

In addition to cost burden, there are other indicators that a person may become homeless. The first is households with more than two people living in a single room or studio housing unit. These households are experiencing extreme overcrowding, typically with precarious tenancy agreements, and the presence of other housing inadequacies such as a lack of kitchen or plumbing utilities. Another indicator of risk of homelessness is households with at least a 21-day eviction notice at the time they apply for housing support. These households have very limited time to secure housing and may become homeless while paperwork is processed and an alternate unit can be found.

While both the number and proportion of people living in a unit with more than one HUD-defined housing problem (includes incomplete kitchen facilities, incomplete plumbing facilities, more than 1 person per room, and cost burdens greater than 30%) decreased prior to the pandemic, it is expected that the number and proportion have grown significantly since 2020.

Current Resources: Supportive Services

The Continuum of Care consists of over 50 public and private groups, consumers, and individuals with diverse support service expertise. Continuum of Care services are navigable through a coordinated intake specialist that connects people to programs throughout the county. The services available through the Continuum of Care include:

1. Street Outreach support services;
2. 24/7 homeless support;
3. Homeless Prevention services;
4. Emergency weather shelters including beds for most vulnerable populations;
5. Rapid re-housing programs; and
6. permanent housing support

The City’s most recognizable organization available to help families and individuals fleeing domestic violence is the YWCA, including their Hall House Domestic Violence Shelter, though other organizations working with children and families can offer a transition to safe housing.

Homeless Housing Inventory

As of January 2021, the County had:

- 229 total emergency shelter beds (74 for families)
- 16 transitional housing and
- 196 rapid re-housing beds (129 for families),
- 449 permanent supportive housing beds, and
- 51 other permanent housing beds.

In 2021, the County added the “Code Blue” program to increase support to homeless persons. When the outside temperature drops below freezing, a warming shelter would be open with low-barriers to access. This program continued beyond the Code Blue funding and would eventually lead to the creation of daytime “drop-in centers” in 2022 that would be open daily. In 2023, the program added an overnight option, with Code Blue funding still being used to supplement the program’s budget.

Services are provided in accordance with regulation and guidelines set forth by governing agencies, Office of Temporary and Disability Assistance (OTDA) and Office of Children and Family Services (OCFS). Collaboration with emergency shelters and community services occur to secure best outcomes for consumers.

Affordable Housing Development and Non-Emergency Rental Assistance

The Public housing authority (Utica MHA) provides tenant-based and project-based rental assistance, as well as public housing, to qualifying populations. These resources are an important element of the overall safety net but are insufficient to meet the overall need.

Identify any gaps within the current shelter and housing inventory, as well as the service delivery system:

The City utilized PIT and Housing Inventory Count data to conduct the homeless gap analysis. The number of permanent supportive housing, rapid rehousing, and other permanent housing units were compared with the number of households counted during the PIT count.

Additionally, the Continuum of Care has identified an overall, ongoing need for beds of capacity in non-congregate shelters. There is strong desire to increase overall capacity of non-congregate shelter beds, and the City has a proven track record of securing funding necessary for capital and operating feasibility.

| | Current Inventory | Level of Need | Gap |
|-------------------------------------------------------------|--------------------------|------------------------|------------------------|
| | # of Units | # of Households | # of Households |
| Total Rental Units | 24,544 | | |
| 30% AMI Units | 2,480 | | |
| 50% AMI Units | 4,369 | | |
| 0-30% AMI Renter HH with 1 or more severe housing problems | | 3,765 | |
| 30-50% AMI Renter HH with 1 or more severe housing problems | | 2,025 | |
| Overall gap | | | 1,059 |
| 30% AMI gap | | | 1,285 |

Table 5. Non-Homeless Housing Gaps (source: 2022 Utica Housing Study; 2022 CHAS Data)

CHAS data were utilized to complete the non-homeless needs inventory and gap analysis, however the City of Utica does not have accurate numbers for the number of Rental units in the City; Ideally, the City

Would compare the number of units affordable to households with very-low and extremely-low incomes with the number of households in those income brackets who were also facing at least one severe housing problem. Based on results from the Utica Housing Study, 4,369 housing units fall into “below average” category, which is likely the type of unit a 50% AMI household might occupy. The study also showed 2,480 housing units fall into the “well below average” category, which is likely the type of unit a 30% AMI household might occupy. the greatest need is for households with incomes equal to or less than 30% of the AMI. When comparing the number of units affordable to households with incomes equal to or less than 30% of the AMI with the number of households with incomes equal to or less than 30% of the AMI who have one or more severe housing problem, there is a gap of almost 1,300 units.

Explain how the level of need and gaps in its shelter, housing inventory, and service delivery systems based on the data presented in the plan were determined

The City considered findings from the consultations alongside the data analyses outlined above to identify gaps and prioritize needs. As the Continuum of Care is prioritizing the development of deeply affordable rental housing paired with support services, the number of unsheltered homeless individuals was compared with the number of transitional and permanent housing units.

The needs for non-congregate shelter units emerged through consultations with key stakeholders, including member agencies of the Continuum of Care. Low-barrier temporary units are critical. Preventing homelessness for those who may face housing instability is also paramount. The City assessed this by comparing the number of very-low and extremely-low income households with severe housing issues and the number of units affordable to very-low and extremely-low income households. Recognizing the limitations of these gaps analyses and available data to quantify the qualifying populations, it remains clear that the City of Utica faces an affordable housing shortage for those who are currently housed and homeless alike.

Another consistent theme was the need to connect residents with supportive services to increase housing stability. Case managers are crucial to supporting residents by connecting them with relevant wraparound services.

Identify priority needs for qualifying populations

The City of Utica has identified the following priority needs:

1. Non-congregate shelter units
2. Long-term supportive services, such as case management support for qualifying populations
3. Deeply affordable rental/homeowner housing
4. Rental Assistance

These needs are reflected in the needs assessment in different ways for each qualifying population.

The creation of non-congregate shelters can provide households who have intense service and/or medical needs safe, quality shelter to as they transition into affordable housing units (whether dedicated units or naturally occurring affordable housing), as well as access to case management services that address risks to housing stability such as domestic violence, fixed income, or mental illness.

Expanded supportive services, such as those provided by subrecipients of the City’s Emergency Solutions Grant (ESG), would free up shelter space by contributing additional resources to case management for those in need of permanent housing solutions, allow shelter services to be expanded (including meals

and sanitation needs), increased street outreach presence, and homelessness prevention activities, such as assistance with arrears. Many qualifying populations also require specialized and trauma-informed case management support to address the unique and occasionally similar needs of each population such as benefits support, childcare service referrals, or mental health services. Case management services can offer vital referrals to resources outside of housing providers that can prevent future housing instability upon settlement in a permanent housing unit.

Additional subsidies for the creation affordable housing units, both rental and homeowner, would increase the stock of available units in the City, either through new construction or rehabilitation. This would continue to fight the lack of sustainable, affordable housing options for the neediest populations. Additionally, increasing the supply of dedicated affordable housing for very- and extremely-low income residents is critical. Figure 3 of the needs assessment demonstrates the City's need to expand deeply affordable housing development. Preference for permanent housing should be given to the Homeless and/or fleeing domestic violence qualifying populations.

Rental assistance programs, including those provided in rapid rehousing programs, would benefit the neediest populations of either homeless or at-risk of homelessness, including those escaping from domestic violence.

HOME-ARP Activities

Allocations

Based on key findings from the consultations, needs assessment, and gaps analysis, the City of Utica proposes funding four activities, in addition to grant administration and planning. Please see Table 7 below for a summary of the proposed allocations. The funding allocations are within HOME-ARP statutory limits.

| Activity | Funding Amount | Percent of Grant | Statutory Limit |
|---------------------------------------------------|----------------|------------------|-----------------|
| Acquisition/Development of Non-Congregate Shelter | \$1,500,000 | 61.76% | NA |
| Supportive Services (Enhanced ESG Program) | \$500,000 | 20.59% | NA |
| Development of Affordable Rental Housing Units | \$200,000 | 8.23% | NA |
| Rental Assistance | \$50,000 | 2.06% | NA |
| Admin and Planning | \$182,200 | 7.5.00% | 15% |
| Total | \$2,428,816 | 100% | |

Table 7: Summary of Proposed HOME-ARP Allocations

Describe the method(s) that will be used for soliciting applications for funding and/or selecting developers, service providers, subrecipients, and/or contractor:

The City of Utica Department of Urban and Economic Development will release a public notice of funding availability (NOFA) that complies with all HOME-ARP regulations.

Describe whether the PJ will administer eligible activities directly

The City of Utica Department of Urban and Economic Development will manage the rental housing development and non-congregate shelter activities, as they manage other local, state, and federal funding sources. As noted above, the Department will select qualified development partners.

Supportive service activities will likely be subgranted to current and potential ESG Grant recipients to administer.

If any portion of the PJ's HOME-ARP administrative funds were provided to a subrecipient or contractor prior to HUD's acceptance of this allocation plan because the subrecipient or contractor is responsible for the administration of the PJ's entire HOME-ARP grant, identify the subrecipient or contractor and describe its role and responsibilities in administering all of the PJ's HOME-ARP program

N/A

Uses of HOME-ARP Funding

Describe how the PJ will distribute HOME-ARP funds in accordance with its priority needs identified in its needs assessment and gap analysis.

1. Non-congregate shelter

According to the HOME-ARP Notice, "(a) non-congregate shelter is one or more buildings that provide private units or rooms as temporary shelter to individuals and families and does not require occupants to sign a lease or occupancy agreement." Through the pandemic, providing non-congregate shelter units was viewed as an effective approach to reducing the number of unsheltered residents in the City of Utica, however only one suitable location was determined: a motel building was rented as a block of rooms specifically for use as a temporary non-congregate shelter. As noted above, the City has concluded there is an ongoing need for non-congregate shelter beds for various populations and seeks to use HOME-ARP funds to support acquisition and development of additional non-congregate shelter capacity to fill this need.

These funds may be used for the City or a third-party entity to acquire an existing building for non-congregate shelter use or to develop new non-congregate shelter units. The Continuum of Care demonstrated the ability to provide operating and supportive service support for non-congregate shelters during the pandemic. At the present time, there is one potentially identified site and proposal for non-congregate shelter beds the City is considering allocating these dollars to, though this potential opportunity has yet to be confirmed.

2. Supportive services

To promote housing stability, allocated funding for supportive services will be used for case management services for residents who meet the criteria of a qualifying population who are living in

affordable rental units that are funded with HOME-ARP funds, as well as capacity-building and/or additional support for current programs that have been strained by the increase of street homeless activity in the past year.

The City of Utica envisions these services as being offered through our current participating service agencies through the Emergency Solutions Grant (ESG) Program. As these services are already offered but not at the level of need assessed, we see the opportunity to enhance the program budgets or physical/capacity needs of shelters and service providers (with a focus on case management) as a “stop-gap” attempt at assisting as many households as possible until new affordable units currently in development can be placed into service (within 1-3 years).

3. Development of affordable rental housing

There is a significant need for rental housing that is affordable to households with very low and extremely low incomes, including those who meet the criteria for HOME-ARP qualifying populations.

While units will be open to all qualifying populations, they will be underwritten to extremely low-income affordability assumptions to ensure they are financially viable for the life of the program.

The City’s primary goal for the use of HOME-ARP funding when supporting deeply affordable rental housing is to focus on the creation of units that can retain long-term affordability (i.e., 20 years) without the need for rental assistance, if needed. Additionally, the City seeks to create deeply affordable rental units that have supportive services.

As is the practice with HOME-assisted construction loans, affordable housing developers will be incentivized to dedicate a portion of units in their respective multi-family rental developments as affordable for those in the qualifying populations. This model encourages mixed-income development and advances a more integrated approach to housing for the qualifying populations, who otherwise may live in more segregated environments.

Under this approach, deeply affordable rental units with supportive services can be affordable (typically at 0-60% of AMI) and available for a 40-year period without the need for rental assistance. While this approach requires deep capital subsidies and up-front funding of operating reserves, it has proven to be a cost-effective approach that allows for the use of scarce rental assistance elsewhere.

4. Rental Assistance

When the eviction moratorium established during the COVID-19 pandemic expired in 2022, the courts were overwhelmed by eviction cases due to nonpayment of rent. Many of these cases were due not to a refusal to pay, but to an inability to pay. This trend continues, with the need for Section 8 vouchers or other subsidy types increasing. As noted above, there is a significant need for rental housing that is affordable to households with very low and extremely low incomes, including those who meet the criteria for HOME-ARP qualifying populations. A rental assistance program, either by voucher system, homelessness prevention financial support, rapid rehousing security deposit/rent payments, or another method would reduce the strain on current landlords (many landlords have raised rents to “weed out” potential tenants or have decided to no longer participate in offering property for rent). A “Landlord Liaison Office” was proposed by a subrecipient during consultations, which could also be funded through this program. Such an office could offer incentives to landlords to encourage participation in offering or continuing to offer affordable rental units.

Describe how the characteristics of the shelter and housing inventory, service delivery system, and the needs identified in the gaps analysis provided a rationale for the plan to fund eligible activities

The needs assessment and gaps analysis demonstrated a need for non-congregate shelter units, as well as increasing the supply of deeply affordable rental housing. Furthermore, the consultations elevated a need for case management that will help households gain housing stability. While there are adequate emergency shelter units, households need safe, quality permanent affordable housing opportunities to transition to after accessing emergency and/or transitional housing.

Additionally, the non-homeless gaps analysis demonstrates a significant need for affordable housing units, especially for those with incomes equal to or less than 30% AMI. While scaling up the number of units for formerly homeless households and/or households facing instability, there is a parallel need for greater investment in case management to support the eligible tenants of the units to be funded with HOME-ARP.

Though resources exist for the operations of non-congregate shelters, HOME-ARP is a unique federal funding source that allows for the acquisition and development of non-congregate shelter units.

HOME-ARP Production Housing Goals

Estimate the number of affordable rental housing units for qualifying populations that the PJ will produce or support with its HOME-ARP allocation

As noted above, the City's primary goal in using HOME-ARP funds for affordable rental housing is to create permanent supportive housing (PSH) that is affordable for a period of 20 years without the need for long-term rental assistance support. This approach provides a set-aside of deeply affordable units that are affordable at 0-60% of AMI, typically within larger affordable housing developments. The approach involves a high level of up-front capital subsidy and the creation of an internal operating reserve that enables property owners to successfully operate units with rents that are well below the incremental operating cost.

In estimating unit production with this approach, the City examined its existing pipeline of 4 projects seeking affordable housing resources to arrive at an average total development cost of \$40,000 per unit. This figure is based on the allowable development costs under the HOME program in the Utica-Rome metro service area. The existing pipeline includes both new construction and acquisition/rehabilitation developments, as well as a mixture of unit types, including one, two and three-bedroom units, so a variety of potential housing typologies will be possible for qualifying populations.

For financial modeling purposes, the City assumed that HOME-ARP funds could cover up to \$40,000 of this per unit capital cost, with the remaining funds leveraged from other available affordable housing resources. This results in a need for \$200,000 of HOME-ARP funds for the development cost portion per affordable housing/PSH unit to develop an additional five affordable housing units. This would apply to projects already seeking or planning to seek HOME subsidies for construction.

Describe the specific affordable rental housing production goal that the PJ hopes to achieve

AND describe how it will address the PJ's priority needs

The City will target the HOME-ARP funds that are dedicated for affordable rental housing to produce affordable housing for qualifying populations. The estimate of 5 units produced is based on the most conservative analysis that involves the need to deeply subsidize capital costs and fund an operating reserve so that units can be leased to a qualifying household without the need for rental assistance.

It is the City's hope that additional capital resources can be leveraged (or rental assistance secured) that will enable the overall number of units produced using HOME-ARP funds to be increased. However, it is important that even at the most conservative production level of 5 units, these HOME-ARP assisted units will provide critically needed housing for a period of at least 20 years without the need for additional ongoing subsidy from the City.

Preferences

Identify whether the PJ intends to give preference to one or more qualifying populations or a subpopulation within one or more qualifying populations for any eligible activity or project

The City of Utica will give preference to the Homeless qualifying population for the affordable rental housing and non-congregate shelter activities.

If a preference was identified, explain how the use of a preference or method of prioritization will address the unmet need or gap in benefits and services received by individuals and families in the qualifying population or category of qualifying population, consistent with the PJ's needs assessment and gap analysis

The Oneida County Continuum of Care will apply its Coordinated Entry Policy (see Appendix C) to HOME-ARP funded units, including use of the Composite Score and by Name list approach. Additionally, the Continuum of Care will implement an additional method of prioritization specifically for HOME-ARP funded rental (see Appendix D). For the non-congregate shelter units, a method of prioritization will be created that prioritizes individuals with severe service needs.

This approach will allow the households in the homeless qualifying population to move to stable permanent rental housing or non-congregate shelter in line with the Continuum of Care's policies.

If a preference was identified, describe how the PJ will use HOME-ARP funds to address the unmet needs or gaps in benefits and services of the other qualifying populations that are not included in the preference

All rental units funded with HOME-ARP will be open to all qualifying populations. The coordinated entry policy for rental units funded with HOME-ARP will codify this, as well.

If the PJ intends to use the coordinated entry (CE) process established by the Continuum of Care, describe whether all qualifying populations eligible for a project or activity will be included in the CE process, or the method by which all qualifying populations eligible for the project or activity will be covered

The Oneida County Continuum of Care CES will expand to accept all four qualifying populations, using preferences and method of prioritization adopted in the allocation plan for HOME-ARP units.

Limitations

Describe whether the PJ intends to limit eligibility for a HOME-ARP rental housing or NCS project to a particular qualifying population or specific subpopulation of a qualifying population identified in section IV.A of the Notice

The PJ does not intend to limit eligibility for rental housing or non-congregate shelter activities to the homeless qualifying population.

If a PJ intends to implement a limitation, explain why the use of a limitation is necessary to address the unmet need or gap in benefits and services received by individuals and families in the qualifying population or subpopulation of qualifying population, consistent with the PJ's needs assessment and gap analysis

N/A

If a limitation was identified, describe how the PJ will address the unmet needs or gaps in benefits and services of the other qualifying populations that are not included in the limitation through the use of HOME-ARP funds (i.e., through another of the PJ's HOME-ARP projects or activities):

N/A

HOME-ARP Refinancing Guidelines

N/A

Appendix A: Award Letter



U.S. Department of Housing and Urban Development
Buffalo Office
465 Main Street
Buffalo, New York 14203-1780
(716) 551-5755

September 22, 2021

Mr. Brian Thomas, AICP
Commissioner, Urban and
Economic Development
City of Utica
City Hall – 1 Kennedy Plaza
Utica, NY 13502

Dear Mr. Thomas:

The American Rescue Plan Act of 2021 appropriated \$5 billion to provide housing, services, and shelter to individuals experiencing homeless and other vulnerable populations, to be allocated by formula to jurisdictions that qualified for HOME Investment Partnerships Program allocations in Fiscal Year 2021. On September 13, 2021, the Department published a notice, titled: *Requirements for the Use of Funds in the HOME-American Rescue Plan Program* (the Notice), which you are encouraged to review to assist in developing your program. Enclosed is the Grant Agreement for the HOME Investment Partnerships – America Rescue Plan (HOME-ARP) program:

In accordance with the Notice, and the HOME ARP Grant Agreement, a Participating Jurisdiction (PJ), as of the Federal Award Date, may use up to five percent of its total award for administrative and planning costs. Once your HOME-ARP Allocation Plan is approved by HUD, the remaining award will be made available.

**HOME Investment Partnerships - American Rescue Plan
(HOME-ARP)**

\$ 121,440.80

Transmittal of this Grant Agreement does not constitute approval of the activities described in your HOME-ARP Allocation Plan. You are reminded that you, as the PJ, are responsible for ensuring that all grant funds are used in accordance with all program requirements. An executed Grant Agreement is a legally binding agreement between the Department of Housing and Urban Development and the City of Utica.

To establish a Line of Credit for the HOME-ARP award, it will be necessary for your agency to sign, execute and return one (1) copy of the Grant Agreement. If there is a need to add or remove individuals authorized to access the Integrated Disbursement Information System (IDIS), please submit an IDIS Online Access Request Form (HUD 27055). Also, please ensure the IDIS Online Access Request Form is notarized and returned to this office with your Grant Agreement. Additionally, if there is a need to establish or change the depository account where these funds are to be wired, a Direct Deposit Sign-Up form (SF-1199A) must be completed by your financial institution and returned to this office with a copy of a voided check.

www.hud.gov

espanol.hud.gov

You are reminded that certain activities are subject to the provisions of 24 CFR Part 58 (Environmental Review Procedures). Funds for such activities may not be obligated or expended until HUD has approved the release of funds in writing. A request for release of funds (RROF) must be accompanied by an environmental certification, and until the RROF is approved and notification is received, no HUD funds should be committed. If the project or activity is exempt per 24 CFR 58.34 or categorically excluded (except in extraordinary circumstances), no RROF is required.

Please execute two (2) copies of the HOME-ARP Grant Agreement with electronic signatures. In response to COVID-19, HUD authorizes you to electronically execute the grant agreement with your electronic signature. Return one (1) of the agreements to this office to the attention of Lisa Mrzygut at: Lisa.B.Mrzygut@hud.gov. Maintain a copy of the agreement with your original signature on-site in your program files.

HUD congratulates the City of Utica on its grant award, and we look forward to assisting you in accomplishing your programs goals. If you have any questions or need further information of assistance, please contact Caitlin Donovan, Senior CPD Representative at 716-646-7016 or caitlin.a.donovan@hud.gov.

Sincerely,



William T. O'Connell
Director
Community Planning and
Development Division

Enclosures

Appendix B: Outreach Letter



ROBERT PALMIERI
MAYOR

CITY OF UTICA

URBAN AND ECONOMIC DEVELOPMENT
1 Kennedy Plaza, Utica, New York 13502
PH: (315)792-0181 / FAX: (315)797-6607

BRIAN THOMAS, AICP
COMMISSIONER

Date

Name
Organization
Address 1
Address 2

To whom it may concern,

I am reaching out to local stakeholders and service providers to solicit recommendations on how the City of Utica should use its award of HOME-ARP funds. The City will use the feedback to help determine a process for their allocation.

The American Rescue Plan Act of 2021 ("ARP") appropriated \$5 billion to communities across the U.S. to provide housing, services, and shelter to individuals experiencing homelessness and other vulnerable populations. These funds were allocated by formula to jurisdictions that qualified for funding through the HOME Investment Partnership Program (HOME Program) from the U.S. Department of Housing and Urban Development (HUD). This special round of funding is called the "HOME-ARP" program.

In September 2021, HUD awarded the City of Utica \$2,428,816 in HOME-ARP funds. Eligible activities that may be funded with HOME-ARP include development and support of affordable housing, tenant-based rental assistance, supplementing of Emergency Solutions Grant services such as Rapid Rehousing, homelessness prevention, Shelter Operations, child care, job training, legal services, case management, moving costs, rental applications, and rent assistance, and acquisition and development of non-congregate shelter units.

Funds must primarily benefit individuals and households in four Qualifying Populations:

- 1, Those that are experiencing homelessness;
- 2, Those at risk of homelessness;
- 3, Those fleeing domestic violence, dating violence, sexual assault, stalking, or human trafficking;
- 4, Populations with high risk of housing instability (including households that are low-income and highly cost-burdened; that have moved two or more times in the last 60 days; and that are living in a hotel/motel).

We are seeking suggestions for addressing gaps in the shelter system, barriers to housing and services, opportunities for collaboration, and priority needs for Qualifying Populations.

I have already informally consulted with a small committee earlier last year to discuss how these funds can be used to bolster the ESG awards given to service providers, which I intend to follow through with once the plan has been approved. If there are any other recommendations outside of these initial supportive amounts on how your agency can use HOME-ARP dollars, we would be glad to accept suggestions.

A survey for the general public can be found on the City of Utica website (a Spanish language survey is also available). We encourage your organization to share the survey link to encourage as many Utica residents as possible to participate. The survey can also be found at <https://www.surveymonkey.com/r/8YQVXXP>

Responses must be received by February 24, 2023, and can be sent via email to MPeek@cityofutica.com or by mail to

City of Utica Dept of Urban and Economic Development
Re: Michael Peek / HOME-ARP
1 Kennedy Plaza
Utica, NY 13502

Thank you for your time,



Michael Peek
Housing Development Specialist

Appendix C: Consultation Responses (Letters)

People First (Utica Municipal Housing Authority) / John Furman
February 22, 2023

In response to your survey, here are some potential ways the Housing Authority could use HOME- ARP funds to benefit those in need. (These ideas are intended for discussion purposes only.)

1, Those who are experiencing homelessness; Continued funding of the Coordinated Homeless Program.

Our Coordinated Homeless Response System now has empirical data demonstrating the value of a homeless partnership among the Salvation Army, Rescue Mission, and the Housing Authority. Funding would enable the project to maintain the daytime drop in centers and expand evening services. A special focus of this initiatives would enable the housing authority to hire a professional full-time Homeless Street Outreach Worker to engage with homeless people on the street. Our ESG funds have not been sufficient to operate a full-scale program. In addition, these funds would help to cover the cost for the continued operation of the Green Team program as well as program enhancements such as career, job and education advisement.

2, Those at risk of homelessness; Funding of an on-going eviction prevention and counseling program.

The proposed program would involve housing counseling, legal assistance, emergency rental assistance, financial literacy, and other supportive services. This program is designed to divert cases from formal legal proceedings via negotiation, and in combination with legal assistance or other supports. The program would do more than provide emergency rental assistance. It would address renters' needs holistically, using a People First Approach. Job or income incomes usually trigger evictions. Counseling staff will help tenants deal with adjacent issues that also threaten housing stability, such as depleted savings, unpaid utility bills, high-cost debt, and health challenges. Funding would be used to hire professional staff and pay furan eviction prevention loan fund.

4, Populations with high risk of housing instability (including households that are low-income and highly cost-burdened; that have moved two or more times in the last 60 days; and that are living in a hotel/motel).

Funding of a rental housing counseling program at People First (MHA);

Through our AmeriCorps program, we have provided rental housing counseling services for over ten years to help people who face barriers to housing find apartments and be responsible tenants. There is no rental housing counseling service in Utica. We have developed the Rent Right Curriculum that trains clients to find and maintain housing. It is important to have sufficient funding to hire professional counselors. The rental housing counseling agency would conduct outreach to landlords and develop a digital database of apartments and landlords. Funds would be used to pay for staff to operate the center as demonstration project. The goal would be to use the HOME-ARP funds to establish a permanent rental housing counseling agency through HUD and private foundations. These services would complement our existing Section 8 and public housing program.

We greatly appreciate the efforts of the Mayor and the Department of Urban and Economic Development to help the housing authority to serve the homeless and housing vulnerable. The City of Utica has been a strong ally for our programs and services. We greatly appreciate all you do. Please let me know if you need additional information. These recommendations are based upon what works in the field.

We would like to thank you for this opportunity to provide comments on the use of HOME ARP funding.

Johnson Park Center / Rev. Ursula Meier (COO)

February 23, 2023

- 1) Extra support for the Shelter 1402-1404 WS New Roof, Basement - exit window and air conditioning. With the new roof - place solar on roof to increase sustainability for shelter. 1402-04 WS has an excellent location for solar.
- 2) Create a rental Readiness program in the NEW community center. For example attend 8 classes and if completed get furniture Voucher. Other programming - social – skill building classes.
- 3) 3) Provide start-up Food and Household items for the homeless ready to move into an apartment.
- 4) 201 - Make 1st Floor for homeless (SRO) that cannot qualify for rent subsidies or sanctioned and the city will pay monthly fee and supervision (only woman). 3 medium-large and 1 small room and Kitchen, Dining Room

Rescue Mission of Utica / Wendy Goetz (Executive Director)

February 23, 2023

We are seeing the need for the provision of medically monitored safe injection sites (SIS) for the homeless and those who are housed as many people are evicted from housing for issues related to substance use.

As we all know, warming stations/drop in centers/navigation centers/emergency shelters/non-congregate shelter units are not currently SIS sites. A person can be under the influence and receive services and many are under the influence of both legal and illegal substances on a daily basis, however that is different than allowing someone to knowingly shoot up /using illegal substances onsite. Hence the need for a dedicated SIS site.

In the last year through the provision of funding, through the city, we have made tremendous progress in the provision of low Barrier Drop In Center/Navigation Center/Warming Station services and in engaging the collaboration of multiple local agencies to provide onsite services at our Drop In Center.

We are seeing increased need at both our Drop in Center & OTDA certified Emergency Shelter for intensive case management (low caseload of clients per case manager). Particularly intensive case management with individuals experiencing homeless with mental illness/ substance abuse and the need for intensive case management to prevent evictions after the individual is housed.

We would like to use Home Funds to hire intensive case managers with a low case load of clients. The case managers would follow the client from being street homeless to continue to provide case management services once the client is housed. Currently once we house someone there is not a mechanism/funding for us to provide follow up case management services. This would allow the same case managers to establish individualized trust relationship, based on a person centered care approach that meets the individual where they are at, offering services they want to receive. Most importantly allows for continuity of care.

We desire to continue to operate the Drop in Center/Navigation Center/Warming Center. During this Code Blue Season, we have found that a larger space is needed or scattered site model as an option. Perhaps we offer a non-congregate shelter units in conjunction with several the Drop In Center/Navigation Centers in multiple locations throughout the city. Perhaps using the cottage houses at the grounds of the old psych center off of York Street.

We are also interested in providing dedicated case management services to sexual assault victims and services to those who are being trafficked/fleeing domestic abuse. In summary we would like to explore options to provide intensive case management to individual's experience homelessness and other vulnerable populations with a continence with the same case manager to those with risk of housing instability once they are housed to prevent evictions. We would like to explore options related to the acquisition and development of non-congregate shelter units, to continue to operate the Drop In Center/Navigation Center/Warming center, perhaps moving to a larger location or use a scattered site model across the city.

We are also interested in developing of affordable housing units or single family homes.

Salvation Army of Utica / Captain Michael Harrington (Corps Officer)
February 24, 2023

INNOVATIVE HOPE & WELLNESS CENTER PROPOSAL

The commitment of The Salvation Army and the City of Utica to address the housing/shelter needs and wellness of the city's most vulnerable has been long established. Our shared goal of working collaboratively to address the social determinants of health in the development of programs / services that respond to the needs of Utica's homeless and other vulnerable populations is an ongoing mission. The Salvation Army programs serves as a "crossing guard" at the intersection of living in concentrated poverty, food insecurity, substance abuse disorders, poor health and wellness, limited access to resources combined with [and driven by] the collateral impact of an individual's mental health/trauma-enabled needs.

Families and individuals who are not able to address their basic needs such as food, shelter, health/wellness, clothing, self-sufficiency achievement, not only lose the ability to vision a future [hope] for themselves and their family members but also lack the ability to envision a future without "systemic dependency." This lack of hope leads to a path of dependency on emergency/crisis services, a dependency on our health care/hospital's emergency departments, social service programs, the inability to benefit from traditional interventions, and a struggle to achieve long-term, multi-dimensional wellness.

The Salvation Army has actively been developing an innovative, cross-systems and cross-service *Center of Hope* staffed with skilled wellness case managers and support workers who are able to listen to and provide guidance towards total wellness and independent living. Our relationship with our partner-agencies enables us to respond to the multi-dimensional wellness needs of our Utica-area residents through referrals, collaborative intakes, and direct on-site contact through our Center. Our targeted, rapid-response services will include individuals who are considered “super users” of our health/behavioral health care emergency services, those who are new to wellness and recovery, members of special populations [including those with disabilities or those experiencing homelessness] and their family members. The vision for the *Center of Hope* is a comprehensive health, safety, and wellness approach that integrates access to treatment resources, self-help supports, responds to socioeconomic needs [such as food insecurity and rental assistance], assists with obtaining the necessary skill sets to guide and offer HOPE for a life free from poverty, and a life full of health and wellness.

STATEMENT OF NEED

The *Center of Hope* will be in the City of Utica at The Salvation Army Citadel, 14 Clinton Place, Utica. Although our area is blessed with many healthcare venues, several substance use disorder outpatient clinics, an addiction stabilization center, a short-term inpatient treatment facility and a long-term treatment center, there is not an independent, community-based site where comprehensive, cross-system wellness supports are readily accessible for vulnerable individuals and families. No “clinical” or diagnostic criteria to meet... No sanctions from access... No “wrong insurance” ... but rather a place where we listen, gather information, make referrals, provide a hot balanced meal, offer spiritual comfort and guidance, assist with obtaining – and keeping – housing, relationship-building, interpersonal skills building, and self-management skills. The *Center of Hope* offers a gateway to “Life Restoration” – a “process of change through which individuals improve their health and wellness, live a self-directed life, and strive to reach their full potential.” – Recovery Research Institute 2021

WELLNESS APPROACH

The *Center of Hope* will offer higher levels of social support so that individuals [when impacted by life’s negative events] will experience fewer negative results, defined as “social buffering”. As social creatures it only makes sense that having a strong social support network helps an individual maintain positive physical and mental health.

While developing a commitment to wellness, individuals are subject a variety of emotions that can add to severe stress and the feeling of apprehension associated with early stages of change. This is when individuals can benefit the most from the helping relationship which serves to reduce anxiety, stress, depression, and isolation that often contribute to “giving up” and returning to unhealthy dependencies of social welfare systems.

The foundation of successful change is empowerment and the ability to simultaneously address the eight (8) dimensions which include physical wellness, socio-cultural wellness, financial wellness, environmental wellness, occupational wellness, spiritual wellness, intellectual wellness, and emotional wellness.

Strong support helps individuals and family’s power through setbacks, which are a natural part of life.

How individuals manage and cope with these setbacks depends a lot on their “wellness capital.”

Resilience is a key component in achieving wellness- not only for the individual but also for their family and their community.

Resiliency [hope] is supported by four (4) major pillars that support a life of wellness. These pillars are evidenced-based and know, more commonly, as the “**Pillars of Recovery and Wellness**”. These pillars support the “bridge” leading out of poverty and dependency. These pillars are proven successful in addressing other health and life challenges.

These 4 pillars are:

1. **Health**: overcoming or managing one’s life challenges as well as living in a physically and emotionally healthy way.
2. **Home**: a stable and safe place to live.
3. **Purpose**: meaningful activities, such as a job, school, volunteerism, self-efficacy; and
4. **Community**: relationships & social networks that provide support, friendship, love, and hope.

It is on these four pillars, that The *Center of Hope* will make its foundation in our community. Through a partnering approach The *Center of Hope* will provide the opportunity for participants to solidify their wellness goals, offer training to address skill deficits, referrals for appropriate services, wellness coaching, family support navigation, advocacy, prevention, recovery, fitness and most importantly, community. This opportunity and hope for long-term wellness will be provided through our relationships with partnering agencies which include the Mohawk Valley Housing Authority, Helio Heath, ICAN, Community Health and Behavioral Services, Upstate Family Health, ACR Health, the Mobile Crisis Assessment Team, CNY Health Homes, and the Center for Family Life.

The goals of our program are to assist individuals with the attainment of wellness and resilience, aid with stable housing, reduce barriers to employment, assist with education, and secure the necessary social supports in their community to ensure a good and sustainable quality of life.

OUTCOME AND IMPACT

There are many economic benefits and outcomes from multidimensional wellness: individuals can live their lives better, they are able to enjoy time with family/friends, and to become contributing members in their communities. With a comprehensive, innovative approach to achieving wellness outcomes, every citizen in our community can contribute to the success and the improvement in the quality of life. Proposed impacts include.

1. Trained community partners in The Salvation Army’s *Center of Hope* initiative;
2. The development of a community-wide network of supportive resources;
3. A reliable, relationship-focused, support center with crisis response services;
4. The assessment of needs and development of a comprehensive plan for 150 unique individuals/family members. Tools to include:
 - a. Comprehensive assessment and client data tracking (TBD)
 - b. Personal strengths / wellness capital assessments
 - c. URICA assessment (evidence based)
 - d. Client Self Sufficiency Matrix
5. Service Provision and Brokering: act as service provider and/or primary referral source to other providers, identifying additional resources available for clients (Health Homes, medical referrals, connections with PCP’s, health care and behavioral health specialists, housing referrals and support (rental assistance), addressing food insecurity, harm reduction initiatives, spiritual ministry and pastoral care, informational presentations, youth programs, etc.)
6. Service and system navigator, coming alongside the client to assure service outcome success
7. Outreach, homebased and center-based visits, and contact

8. Determine eligibility and track client assistance resources based on a care plan and service coordination goals
9. Access to food pantries, soup kitchens, other basic need resources

Utica Center for Development / Vincent Scalise (Executive Director)
February 24, 2023

We cannot just keep increasing funding to the same programs year after year and think that the problem will get better. I have proposed this in the past and I still believe it can work.

Fund me to build a new “no barrier” shelter in an area to be determined (possibly on the old state campus), this shelter would be manned 24/7 and we will provide case management, mental/physical health, and addiction services. I truly believe we can have a higher success rate if we provide high intensity services to those that need it. We all know the issues people are suffering from, but you can’t treat homelessness unless you treat the symptoms that led to the person becoming homeless. I am more than willing to work with you to development this program and bring it into reality.

Thank you and feel free to call me anytime to discuss

315-982-7819

Morrow Warming Center / Cathy Marsh (Managing Director)
February 27, 2023

We are convinced that the goal should be housing people. Housing First and not housing only. Navigation centers with ‘Housing Navigators’ teams could be the first step. Housing Navigators would connect clients to services needed to housing related services and choices in housing. First you get them housing and then you wrap the supports around them. Support teams could help each person after housing (and should) include people to help each client with their housing goals, their choices in connection with services, and support in their goals so that they can be successful being housed. These teams are described well in this video from Pathways to Housing. Housing First: Principles Into Practice #4

Navigation centers should start with a smaller number as a pilot. Navigation centers must be low barrier. No reason except violence against themselves, staff, or others should keep them out. There should be no body searches or demands for sobriety. All things that prevent people from walking through the door should be examined and the voices of the clients should be heard and considered in how the place is treating them.

Staff in the navigation center needs to be trained to work with people humanely. (This needs to happen in the shelters and centers we have currently) Training of staff is of utmost importance and one of the most challenging things to do. Every day I hear of how people have been mistreated, yelled at, dehumanized and other things by staff that is not trained to handle complex situations. I do not know how much the city funds will cover in terms of

staffing or other expenses, but I do know that it is incredibly important to do this correctly. After the navigation centers, a real concentration on affordable housing availability should be a priority. A landlord incentive with training for landlords in handling a more difficult population. It has been successful in other places to train landlords almost as first step caseworkers. In other words, landlords are given skills and information to help their tenants. Housing navigation teams should concentrate on housing people. Some of the funds could help landlords get their housing up to codes and landlords should be held accountable. Some of the funds could be used for more small studio units or multi-room houses with a central kitchen for options. We have many types of buildings in our city that could provide different experiences in housing.

Most of this is described in the brief the city commissioned. It is important to do this well at the beginning if we want to change the trajectory of the current situation in our community. As we are finding here, at Cornerstone Church, even people that might be considered housed are in a precarious position that could change suddenly because of the situation they are staying in. Many more people than originally realized.

We also need to recognize that currently there is no low barrier 24-hour shelter/ center/. Both Rescue Mission and Salvation Army have put up barriers for people using their facilities. In the interim we need a truly 24 hour low barrier place for people to be warm or cool in the summer.

As for what Cornerstone would like to do, first and foremost, is to advocate and connect people with what they need. Since Kelly Conroy Scott from the COC has been here, we are seeing how many people have not been reached by the daytime centers we currently have. We would like to continue to provide needs like showers and food services and help with filling out forms, etc. We would like to build social enterprises that can help people get skills or renew skills that they have. In the process they build connections with others. We want to continue to connect people into the community around them and identify weaknesses in their housing or non-housing situations. So if we were funded as an Evening Drop-in Center that would help greatly with this neglected and vulnerable population.

People are also bored, which is why we are working on starting an Art from the Streets type program like what is done in Austin, Texas in cooperation with the NYS dept of Health. Services are not the only thing people need, but things to engage and build community are also important. We would love to do more such programming, such as cooking, gardening, and other things that could build skills and confidence and connection. People are not just numbers in the system of services, they need to connect to things that make them human. All of this is also important to reduce people's need for drugs if they suffer from addiction or help with various mental illnesses.

In addition, we are willing to train people in working with this population. We can help people understand the struggles and how to relate, speak, handle people who have difficult circumstances, mental stresses, and addiction problems. We would like to educate people on poverty and homelessness and ways to help people rise above their circumstances. We would like to provide a place to learn for people both currently in social service, people interested in this area of social services and the general public. Developing teams that think and work differently sometimes takes people who haven't been in the system. We have good

relationships with many different service workers who understand the various needs and how to effectively work with people who are having the worst days of their lives. This could also be a center for education, skills development, and creative therapeutic activities that can establish the connections between people that everyone desperately needs.

Hopefully, as we go on we can all learn to support each other and make our community better. A Utica that does it's best to take care of all of it's people is a beautiful thing.

UNHS Homeownership Center /Danielle Smith (CEO)

June30, 2022

HomeOwnershipCenter & Lead-Free Healthy Homes MV Comments on the Draft Utica Housing Study

Our agency and staff agree with the Following:

Downtown housing, specifically market rate loft style units, have improved since the 1990's. However, there are still numerous apartments above businesses on Genesee Street and within the commercial district that could be renovated and occupied.

Numerous new 1–2-bedroom affordable housing units for extremely low-income household have been created including those at West Street, Roosevelt, and Asteri at Jeffrey Hardware.

Poverty is still extremely high at 30% in the city of Utica and high poverty neighborhoods/census tracts have particularly poor housing conditions, high rates of disinvestment, and the highest rates of lead poisoning.

Not sure how it's going to get funded, but like that the city is beginning to think about options for the St. Elizabeth's campus. Single family middle income/market rate housing with mixed use commercial development along Genesee Street is certainly worth considering, although the new construction redevelopment costs are high without subsidies like tax credits.

The Downtown hospital is not going to have a huge day-to-day impact on retail, but if the relocation of doctors and staff to live downtown happens it could help spur economic activity in the commercial districts of the city.

Utica needs to secure its market share of Wolf Speed employees relocating to the area, but would like to acknowledge that it could be difficult given Proctor high school's reputation in comparison to New Hartford, Whitesboro, and Sauquoit.

Utica has an incredible I need for middle-income working-class housing for residents that are not high earners, but don't qualify housing assistance programs. Also agree there is low demand for housing in Utica because the surrounding areas and suburbs offer this type of housing.

Housing strategies need to close affordability gaps and reduce the concentration of poverty. Housing strategy must grow confidence of households and willingness to pay to improve housing stock,

particularly concentrated on residential high-need housing blocks, in transitional neighborhoods or on the edge stronger geographies and submarkets.

Creating stronger neighborhoods and opportunities for residents of all income levels to move up is critical. Higher income individuals need to be able to move into homeownership opening up rental units for lower income individuals and families so units that should be condemned can be demolished.

Development of new downtown housing and persistence of affordability problems are trends in Utica that become more obvious when compared to Oneida County.

Population loss has resulted in drop in demand of housing, increased vacancy rates, deteriorated property conditions, lower housing values and disinvestment which are dramatic.

Recognize that population is growing, but number of actual households are larger and there are fewer of them. This is a trend that will continue only if the city continues to get large numbers of resettled refugees.

Both observations about demand that households \$50K plus per year could easily afford housing in the region and that households between \$35-\$50K may struggle seems accurate. Although, they're not cost burdened expenses related to housing are still not affordable.

Even though there is rural poverty in Oneida County, the City of Utica has the vast majority of low-income households, more concentrated poverty, and highest need when compared to Oneida County as a whole. The County needs to figure out how to encourage additional public housing units, vouchers and affordable housing in areas outside of Utica to address rural poverty rather than having poverty concentrate in Utica.

Demand definitely remains under-represented in the city due to suburban relocation, segregated settlement patterns, and discriminatory policies like redlining, which have left certain census tracts with incredibly high need and very low demand. Both North Utica and South Utica represent high demand neighborhoods, with the exception of areas along the Parkway, Sherman Drive, and New downtown lofts those earnings over 150,000 per year are not living in Utica.

If the city of Utica it could get its fair share additional 3,369 households earning \$50,000 or more it would increase reinvestment in existing housing, support new housing investments, strengthen property values, and the tax base.

Looking at the housing distribution map, we would generally agree with the evaluation. Although, it was surprising that the area between Elizabeth St and Rutger St near Mohawk St is doing better than I would have expected having driven through there recently. Visually it looks entrenched in poverty. The same goes for the area east of Oneida Square between Park Ave and Hobart St that is a neighborhood that does not appear to classify as average. Our staff walks through that neighborhood pretty frequently and it appears to definitely be below average, at least visually.

Expected the neighborhood surrounding MVCC to generally be above average. Perhaps the two municipal housing complexes may be skewing the overall income of that census block. Higher demand for housing is at the perimeter in the city and agree the softest markets include areas with small multifamily two to four units. Based on our knowledge from the administration of the City

HUD entitlement funds and lead grant, we recognize that 90% of housing was built before 1978 and that the oldest housing (pre-1940) is in deplorable condition and makes up a lot of low-income housing stock. We also recognize that nearly 90% owner occupied units are in the city strongest submarkets and that the softest submarkets are in fact where rental properties exist.

Absentee ownership is also in these softest markets which makes it incredibly difficult for them to want to invest in those areas or apply for grant funding that's available to make such investments. Landlord participation, that are not owner-occupied rental units, is very rare. Landlords hardly ever apply for assistance through programs that are specifically designated to assist non-owner-occupied rentals. It is also recognized that absentee landlord units have a greater number of code violations and lead poisoning citations. The home inspections conducted as part of our housing rehab grants indicate housing conditions here are much worse the national average. For example, the HUD lead grant average cost per unit is \$10,000, the Utica average cost per unit for lead hazard control measures is nearly 19,000 per unit. Quite frankly 37% of properties in the lowest income markets with an actual code violations seems lower than it probably is in reality.

Regarding rents increasing in the softest submarkets and reflecting competition among households in need of apartments as last resort, our agency has observed that the rental moratorium paired with bad experiences and destruction of apartments has meant that landlords refuse to rent units out. They are essentially being asked to take on the least predictable tenants at the lowest rental rates and they're not willing to do it. Even when it comes to the worst housing, rents are high because landlords are taking on an extreme amount of risk and that's the price, they are demanding to take on that level of risk. Landlords have expressed that they are consistently get burned by having bad tenants that don't pay or ruin apartments that can no longer be rented out.

City of Utica population has declined from roughly 120,000 down to 65,000 and even though some properties have been demolished, there's adequate housing stock, it just isn't available because landlords aren't willing to invest the money to bring them up to code, aren't willing to rent them out do the pad past experience, and/or lack of payment by tenant. The recent rental moratorium helped tenants but has only made the situation worse since many landlords stopped renting some of their units entirely.

It is not a surprise that Utica softer submarkets have the largest family sizes since those are the apartments that recent refugees can afford. Also, not surprising that stronger markets have on average older couples living in them, whose children no longer live there, that do not need housing that large. A lack of quality senior housing (not nursing homes or assisted care) in desirable neighborhoods does not exist with the exception of Masonic, therefore, wealthier smaller family size households are not moving out or downsizing.

Young professionals and those just starting families looking to move from moderately priced apartments into homeownership but are not moving up because the housing stock isn't available, therefore they are definitely occupying apartments that could be open to lower income individuals, if first time home ownership within the city was stronger.

Not a surprise that white non-Hispanic residents are occupying housing in the strongest markets and that historically racially marginalized neighborhoods are the weakest demand/high needs markets. The city is extremely segregated when it comes to race and socioeconomic status.

Stagnation in job promotions has probably contributes to lack of upward mobility in housing. If those in upper-level jobs/positions are hesitant to leave, then younger staff cannot be promoted into those positions and income levels don't increase and the ability to move into better housing or homeownership is less likely.

There is a deficit for rental units for upper income renters which forces many of them to look down market and occupy rental units that are lower cost than what they can afford; putting pressure on low income renters who need to go up market in order to rent.

The demand segment is in the habit of spending a relatively small share of income housing, this combined with the fear of making home investments that will not have a return on investment has impacted local investment levels, condition of existing housing, and desire for new housing in the city. Current construction costs for new housing are incredibly high compared to what you could actually sell a house for in the city, particularly when compared to neighboring suburbs. Even if nicer newer housing was built in the Utica, there is still have a perception problem about the school district. Getting people from Wolf Speed to relocate here with children is going to be difficult particularly given New Hartford School District's academic attainment.

As the housing agency that provides housing rehab and lead hazard control remediation, we would certainly agree that the housing need in Utica is highly concentrated and far outstrips current interventions and resources. We also appreciate the fact that the report recognizes lead poisoning and environmental health hazards as an issue that Utica faces and has increased the cost of any type of housing intervention, repair, remediation, and/or construction.

Many of the housing programs our agency administers will address multiple aspects of housing need including affordability and safety by concentrating on housing repairs in a relatively close geographic proximity (all on the same block). Concentrating those efforts in transitional neighborhoods that border stronger markets would certainly have more impact than housing efforts being scattered throughout the city. However, many programs that are citywide, are on a first come - first serve basis relying on low income or qualified applicants to self-identify. Even when outreach is conducted in specific neighborhoods it does not guarantee that those are the resident that apply, make it through the process, and receive assistance.

It has been our experience the owner-occupied rental units are more willing to invest and participate in assistance programs than landlords that do not live in the properties.

Utica's challenges are likely a result of low income, not a result of extreme high housing costs. Agree that a typical household could afford the typical apartment in the submarkets. Ideally, the City of Utica and Oneida County need to figure out how to increase employment rather than increase the number of vouchers. This area is economically depressed, people are earning less than average or are seriously underemployed. They are relying on vouchers and housing assistance to make ends meet rather than increasing wages through employment.

Housing vouchers and housing assistance fills an immediate need, but does not actually address the root cause of low income individuals not being able to afford housing. Those households need assistance to increase their income so that they are no longer relying on vouchers and assistance. Many assistance programs have and what is referred to as a benefit cliff that disincentivizes low-income individuals from increasing their income, particularly if they're going to lose their benefits.

A pre rental inspection program to ensure affordable housing is safe, along with a recurring certificate of occupancy program, could help ensure that maintenance is being done on properties by landlords. Looking at the goals on page 39, our agency generally agrees with all of the recommendations.

Many assets and infrastructure should be rightsized based on the decrease in population from 120,000 to 65,000. Acquiring and holding vacant land, removing blighted structures, and adjusting infrastructure to fit current/future needs could help address this.

We would also agree with all potential market target market recommendations pages 40 and 41. Our agency offers several programs that provide assistance for first time homebuyers, financial coaching, and foreclosure prevention.

More mixed income environments need to be created whenever possible since extreme poverty and extreme wealth are concentrated within a few census tracts.

Housing should be used as a fluid ladder for opportunity and having people move up in housing stock would open up opportunities for those at lower levels. Home ownership is the most easily accessible way to build personal wealth.

The fact that the plan recognizes that Elizabeth campus will need to be redeveloped and a strategy will be necessary for redevelopment is appreciated. It is adjacent to one of the strongest markets so single family home ownership or higher quality apartments would be appropriate. This may also be an area to focus senior housing since many households in that area could downsize.

Concentrating revitalization around areas with strong cultural assets and mixed market conditions, per the map on page 55, is important. State Street is an area with a lot of potential. Currently there is a need to address the discrepancy between properties owned/maintained by Munson Williams versus housing that is in very poor condition. The heavy concentration of homeless individuals receiving services, heavy drug use and mental health issues will also need to be addressed. There are similar issues related to Rutger Street and the Rescue Mission although the Mission seems to have increased their capacity and workforce programs to address the audience there for services.

The HomeOwnership Center provides financial assistance to first time homebuyers, assists rentals and owner-occupied properties with safety repairs, and offers a first-time homebuyer plus rehab program to fix up single family homes. There is interest in supporting a program for duplex owner-occupied landlord opportunities where new home buyer could have rental income.

It was appreciated that the plan recognized that very low-income individuals could not afford the cost burden of homeownership.

Many of the housing rehab programs that use federal or state resources cover a majority of common council districts and/or are citywide. Other key interventions will also be required to support neighborhood revitalization, improve aesthetics, increase safety, and generate higher property values. Looking at the chart on the bottom of page 56, it is our opinion that these are the correct activities, but \$3 million isn't even close to doing the things you have on that list. Soft second mortgages/home equity loans for \$15,000 per property would barely make a dent in the renovation required for the housing stock in Utica. We are not disagreeing that type of lending is necessary, just that the funding level is

incredibly low. Given our most recent experience with an ARPA exterior rehab program that easily expended \$2 million and still has a waitlist. Currently, there is a \$5.4 million investment with the city and philanthropy to address lead hazard control measures and it is only addressing 75 units. Given City HOME, CDBG, and other HUD entitlement funding, the thought that 50 rental units can be repaired or have necessary interventions completed for \$1,000,000 is honestly ridiculous.

Fior Daliza Fernandez (Private Citizen)

February24, 2023

To whom it may concern:

We address your highest authorities with the firm purpose of leaving you edified of our firm intention to remove this youth that we have in our streets which is in development and with no one so far to help them do something concrete, for the same reason we make this communication with the first purpose of taking our first steps with you.

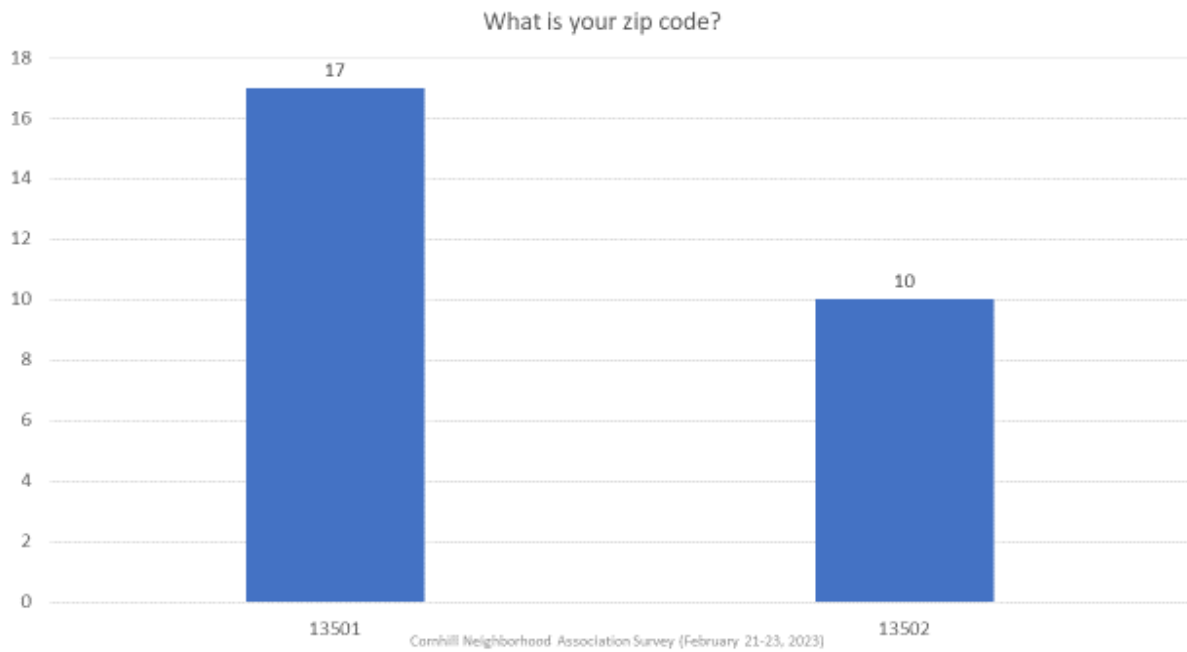
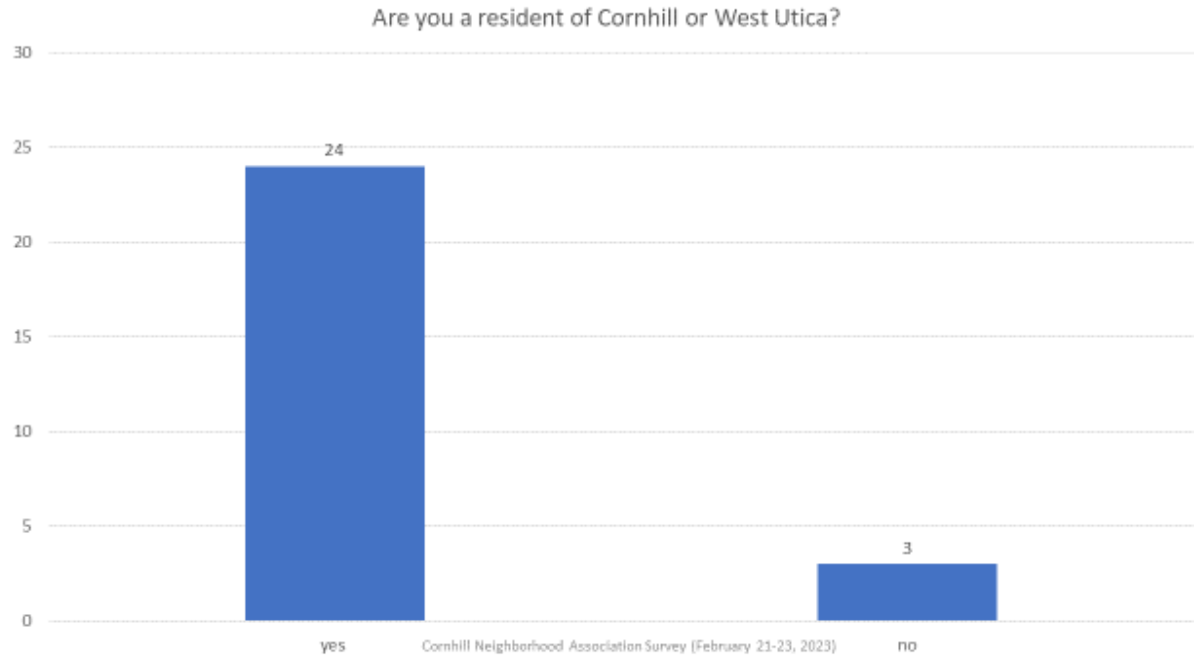
We have two buildings that are currently undergoing renovations. Those buildings are located in 216-218 Rutger St., Utica, NY 13501.

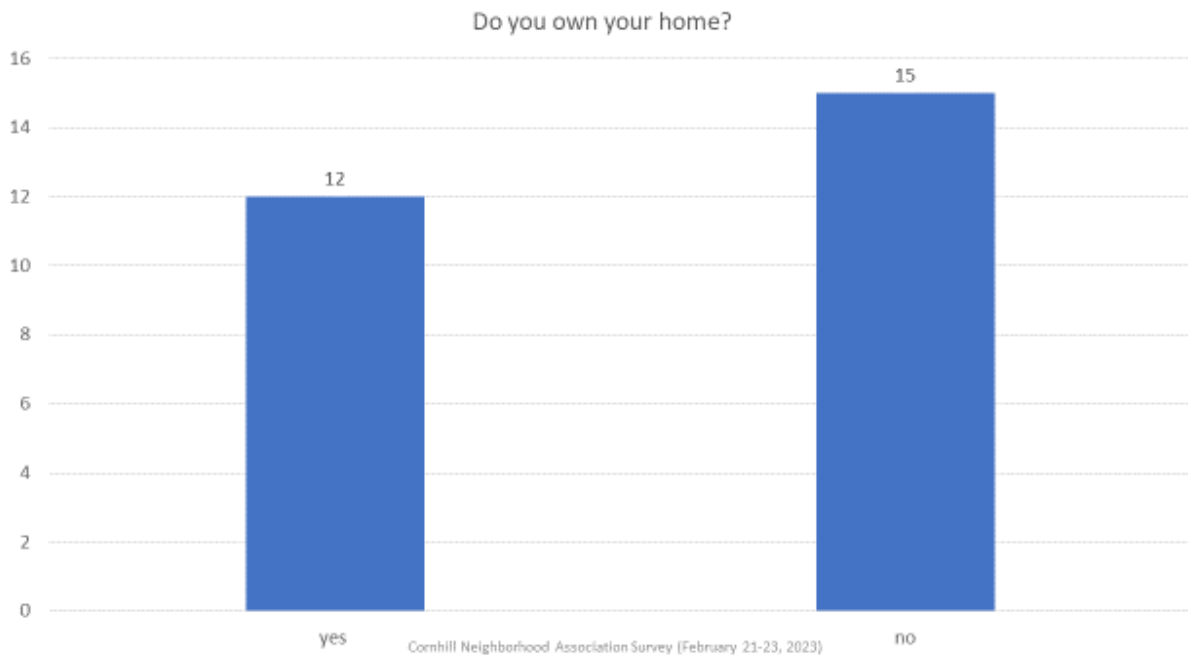
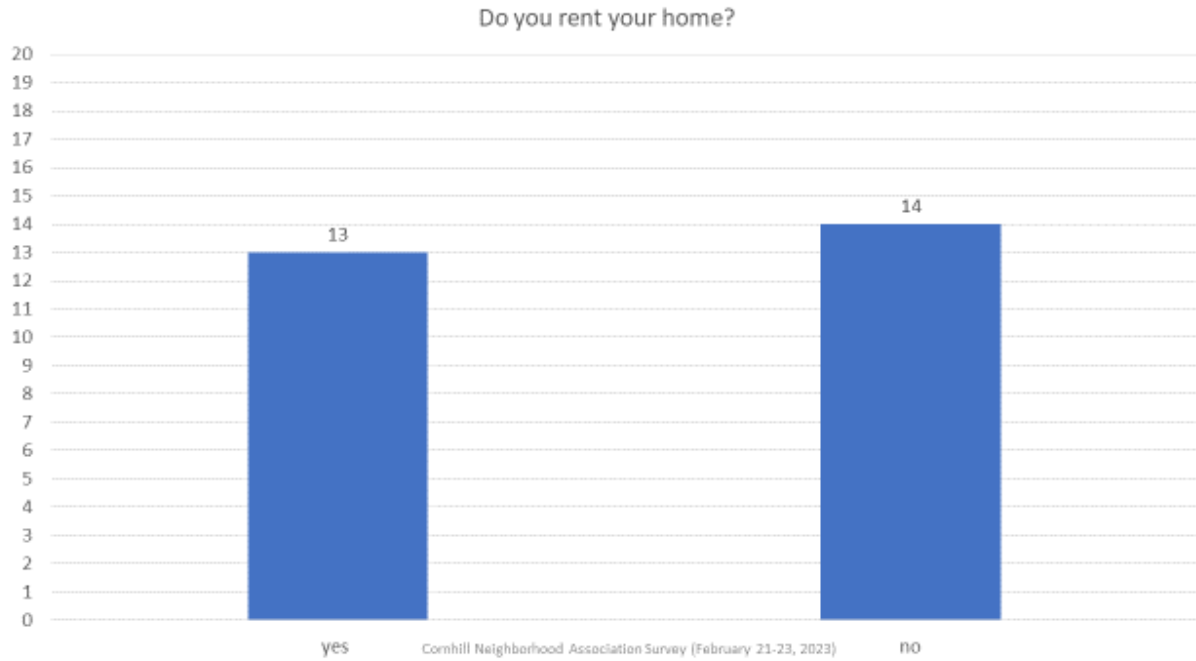
We said goodbye trusting that we could be included in some of your plans that up to now you have been developing with great firmness for our city and for the foundation.

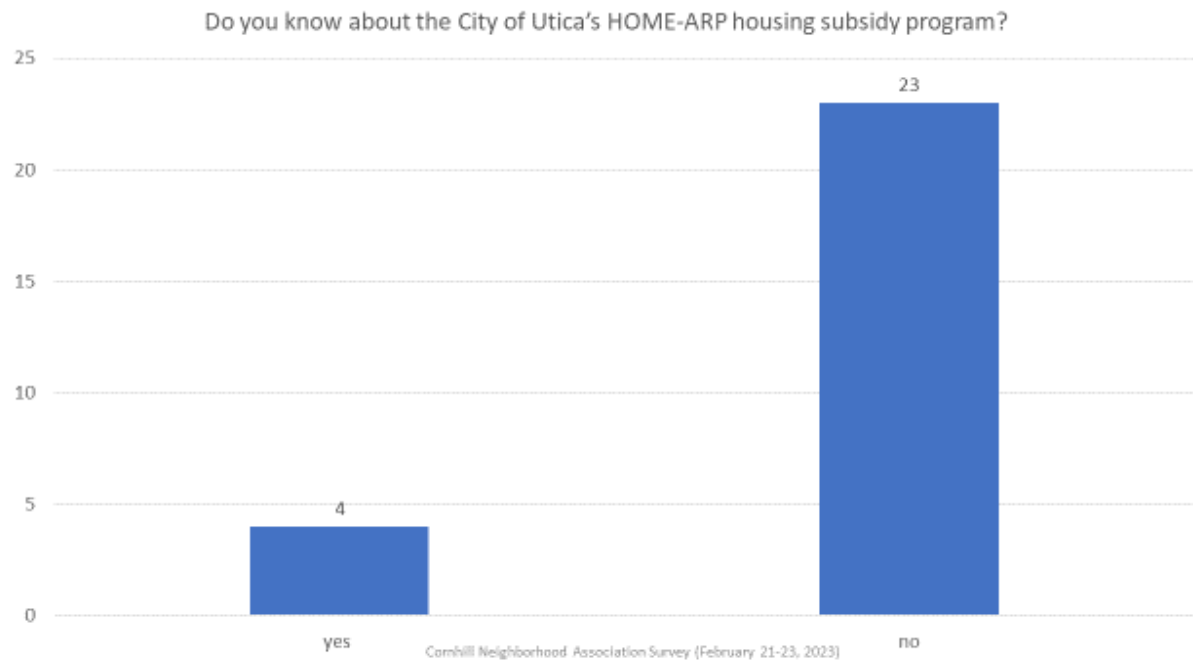
Appendix D: Consultation Responses (Surveys)

Survey Results Submitted by Cornhill Neighborhood Association

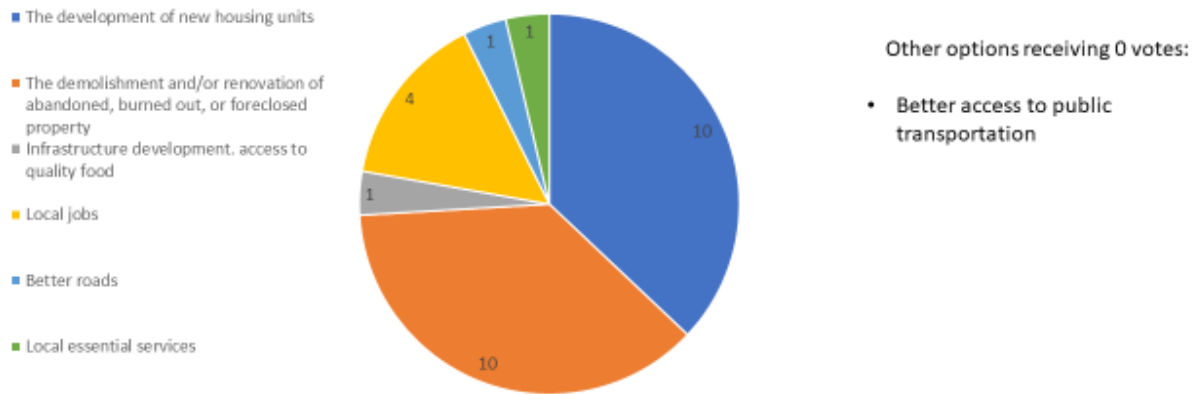
February23, 2023





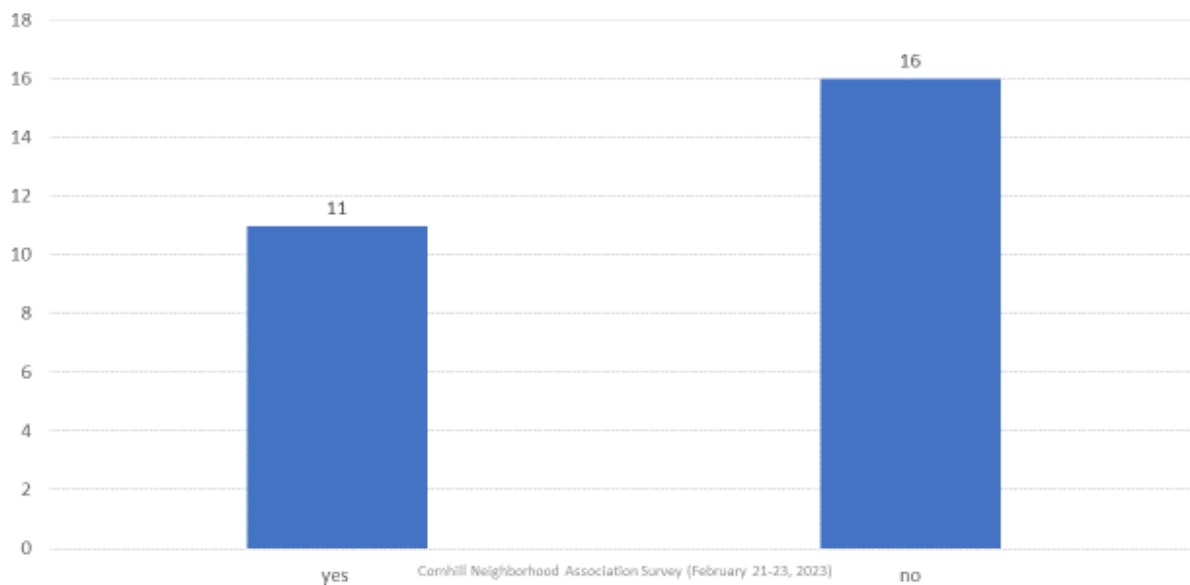


Top priorities based on survey responses to this question: “As a community member what do you consider the important housing needs, or other quality of life needs in your community?”



Cornhill Neighborhood Association Survey (February 21-23, 2023)

Is there a priority item that was not on this list that you feel is equally important to your top 3 priorities?

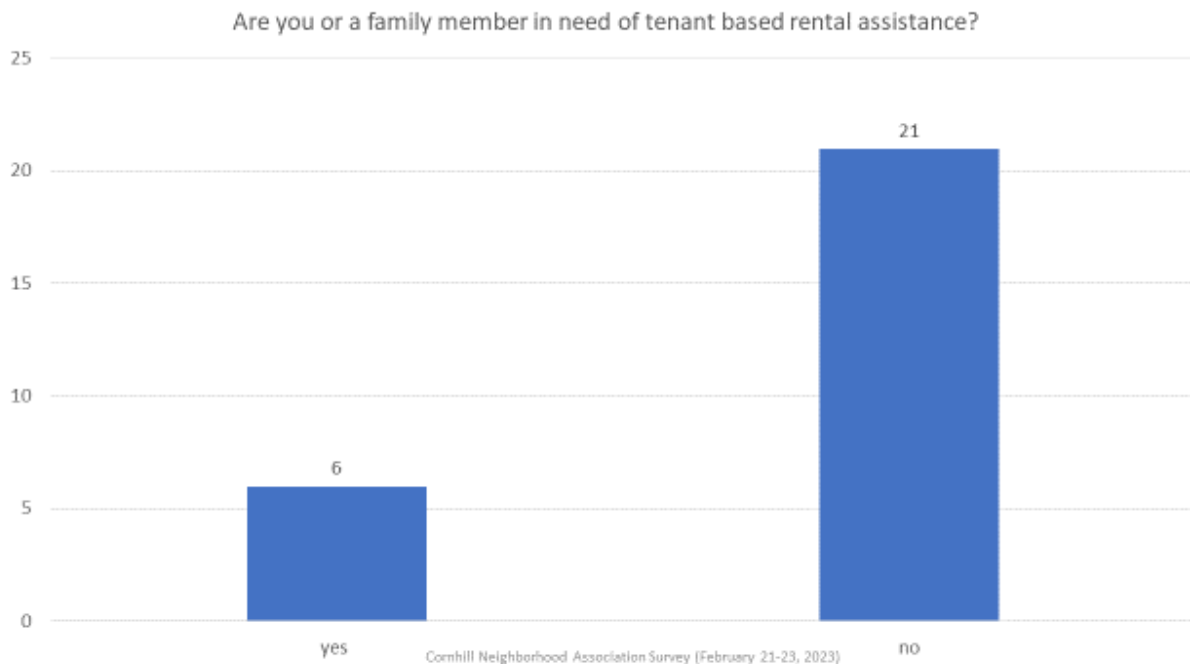


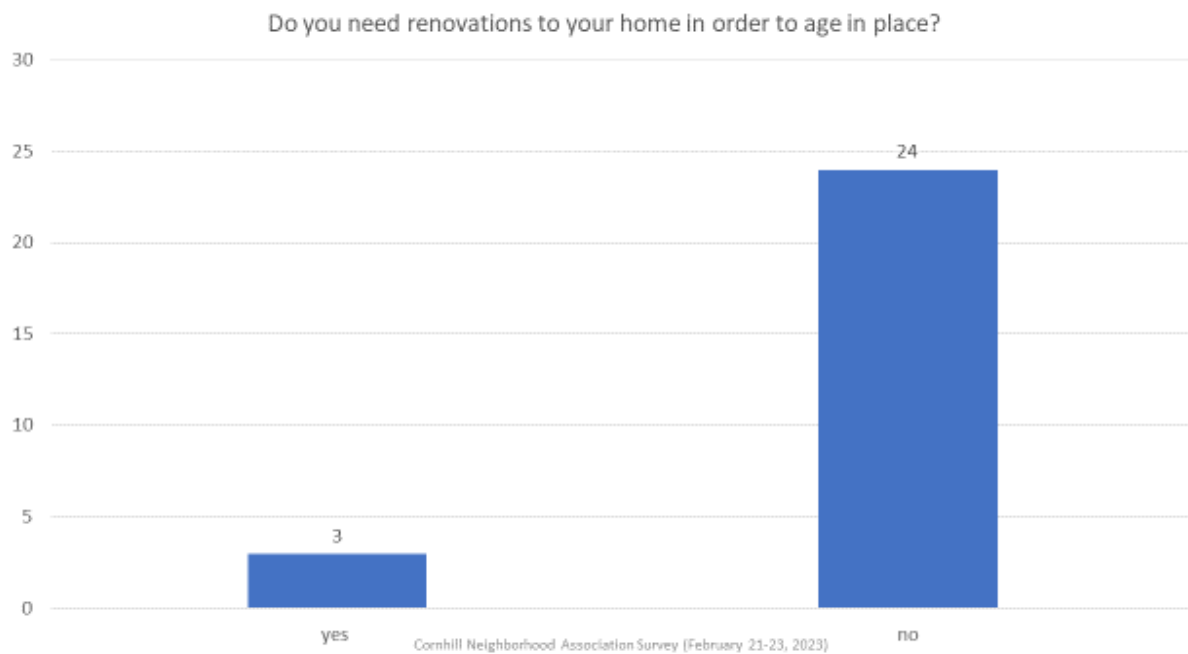
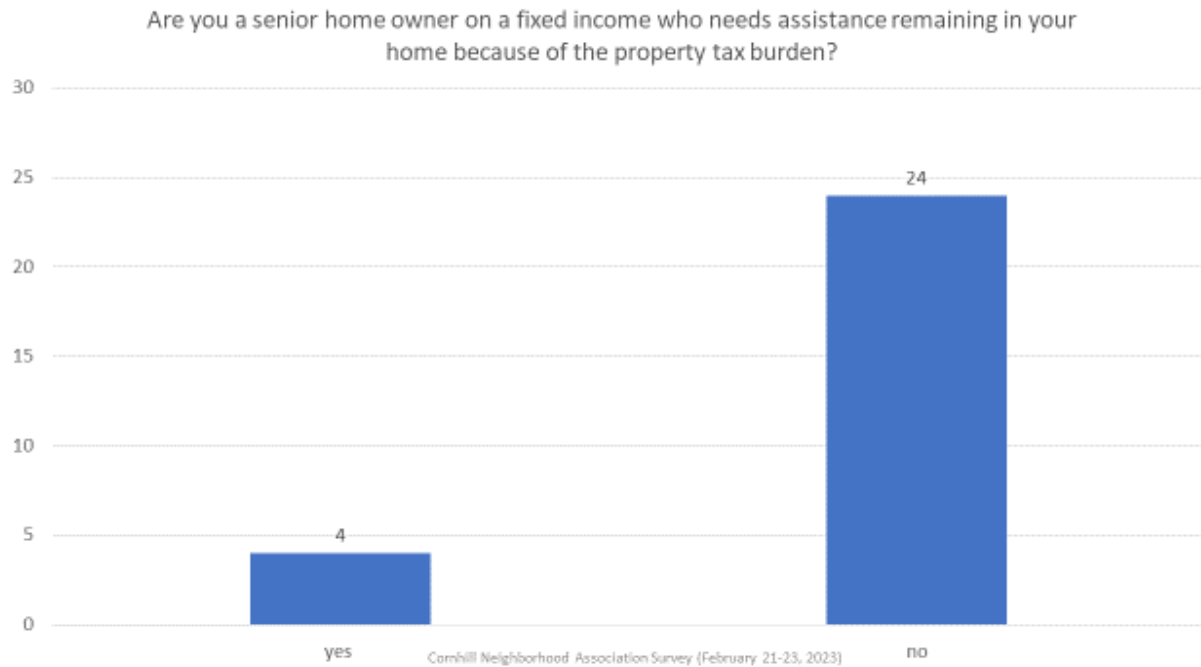
Cornhill Neighborhood Association Survey (February 21-23, 2023)

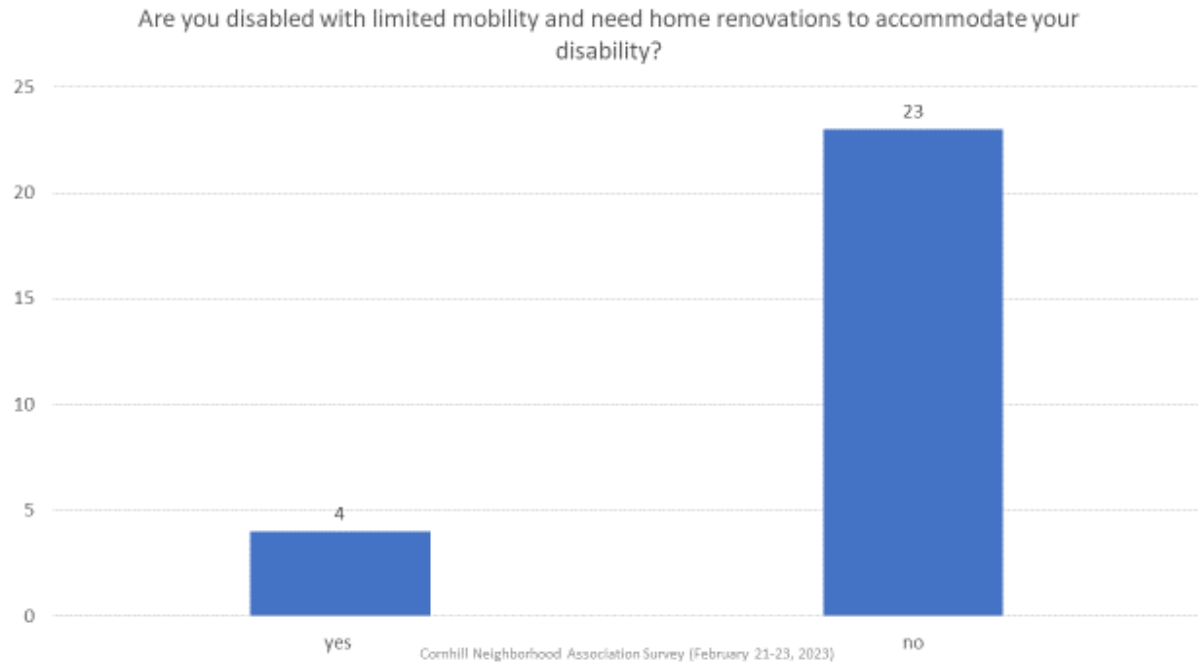
Please explain why you chose yes for the previous question.

- Community Youth programs/centers
- Youth and Young adult programs
- Affordable daycare
- Lead in the water needs to be addressed.
- Extracurricular activities for local kids near where they live
- Resource HUB/Community Development Center
- I think Home buyer's education should be included.
- we need youth programs like the boys and girls club that closed, and we need year round sports facility.
- jobs inside the community.
- we need a safe community.
- safe community

Cornhill Neighborhood Association Survey (February 21-23, 2023)







Appendix E: Public Survey Question Results

Q1: Which type of organization(s) below best describes the group with which you are affiliated?

- a. Other Organization Addressing the Needs of Addressing the Needs of People Experiencing or at Risk Homelessness; People Fleeing Domestic Violence, Dating Violence, Sexual Assault, Stalking, or Human Trafficking; or People with High Risk of Housing Instability (5)
- b. General Public (13)
- c. Fair Housing Organization (2)
- d. Organization Serving People with Disabilities (1)
- e. Homeless Service Provider (2)

Q2: What unmet housing and service needs do you see among "Qualifying Populations" (people experiencing homelessness, at risk of homelessness, fleeing domestic violence, or otherwise at high risk of housing instability) in the City of Utica?

- a. We see a strong need to house people in a low income area On Bleecker Street
- b. Senior
- c. I believe that Utica's most pressing need with regards to housing needs is stronger and more "present" codes enforcement. The city has many (once) beautiful properties and buildings that have serious code violations. I realize that it has much to do with the property owners, but I believe they take advantage of the stressors and challenges of the codes department and know that enforcement will be a challenge. We have sufficient housing, but there's a lot that is not habitable due to the codes violations. Another area of concern is rents that are much too high for this area.
- d. Homelessness
- e. Tiny Homes
- f. Homelessness
- g. Homelessness and Child Care scarcity
- h. Movers, storage or moving trucks.
- i. Rent control, new law protecting tenants with or without lease. Home improvement programs
- j. Homeless
- k. Youth. Age range 16-22 transitional age
- l. Domestic Violence, housing instability
- m. affordable housing for large families mostly single mothers with children
- n. No barrier temporary housing

- o. There is a lack of affordable housing that prevents these individuals from obtaining stable housing - even if they were to have a high rent burden. The rent that landlords are asking for has dramatically increased for the same units over the past two years. Many individuals are unaware that they may qualify for subsidized housing, and other individuals in subsidized housing are confused about what they need to do to keep that housing because property managers do not explain tenant obligations.
- p. more housing, codes enforcers when housing is not up to standards
- q. supportive housing that provides assistance in job training, budgeting, etc.
- r. At risk of homelessness
- s. Women with children should be given top priority, then single women because they are at risk.
- t. Low barrier
- u. Rental Housing Counseling Program to be operated by People First/MHA, Eviction prevention, continued funding of walk in centers for the homeless, financial literacy needs, more supports for homeless youth, self-advocacy training for homeless people, benefits advocacy, continued operation of the Green Team program
- v. Access to affordable, high-quality apartments

Q3: What gaps do you see within the current shelter and housing inventory, as well as the service delivery system in the City of Utica?

- a. We would like to provide more individualized rooms to at risk population
- b. Utica has many apartment buildings (like the Algonquin, Doctor's Building, etc.) that need rehab. Word is already spreading that when the Olbiston building rehab is complete, the rents are going to be outside the range of affordability for lower income families that depended on them. Rental assistance is a wonderful thing but you have to explore why so many need it and look at what happens when it runs out.
- c. Not enough emergency housing
- d. Shelter can't hold enough people and doesn't have adequate supplies
- e. Large ones like these lot wholes
- f. Not enough homeless shelters
- g. Transitional age 18-24
- h. Not enough of both
- i. There simply isn't enough shelter beds or housing inventory. Need more addition treatment and mental health services.
- j. No barrier temporary housing
- k. There is insufficient affordable housing stock. The current housing stock that is priced in "affordable" ranges is also in bad and rapidly deteriorating conditions as landlords refuse to make repairs. Codes enforcement is severely lacking, and many

violations go unaddressed until the building is at the point of being condemned, leaving tenants unhoused through no fault of their own. There is also an unmet need for case management for individuals experiencing housing instability to ensure that individuals get the services they are eligible for.

- l. Not enough
- m. housing stock is old, has not been lead reviewed and tested
- n. Does the City have service delivery? It's invisible. You need to increase it and share information more widely.
- o. Must invest in housing first
- p. More compassionate care for homeless people, more flexibility in the administration of government benefits, financial literacy and benefits training, passage of just cause eviction and the Housing Access voucher program, more accessible housing, units for homeless youth with supports, more one bedroom units, community land trusts to preserve affordable housing, increased codes enforcement, loans and grants to preserve neighborhood housing stock, creation of community development corporations, better public transit
- q. We are the only shelter in Oneida County to accommodate families. Our shelter, unlike many, does provide individual family accommodations.

Q4: Which eligible use of HOME-ARP funds would be your highest priority within our community?

- a. Acquisition/Development of Non-Congregate Shelter Units (6)
- b. Development of Affordable Housing (4)
- c. Emergency Solutions Grant (ESG) Services (7)
- d. Rental Assistance (5)

Q5: For development of affordable housing, what specific needs do you see in our community? How do you think HOME-ARP funds could be used to address those needs?

- a. These phones could come in great use by providing more individual private spaces close to many organizations that provide Mental Health and are located in a low-cost area in Utica New York On Bleecker Street
- b. Senior Living
- c. Strengthen the Codes department.
- d. Provide single room emergency housing with a general population for personal hygiene and lavatories
- e. Tiny Home community
- f. Let's stop cutting down our trees
- g. More housing like rescue mission
- h. Assist youth homeless, transgender, transitional age

- i. Give non fortunate people the chance to live in better housing
- j. Although a lack of affordable housing is a huge need there are many resources for development. These resources would be better spent on rental assistance or other beneficiary needs related to maintaining housing.
- k. Build affordable family rentals
- l. There is a lack of community-owned and managed affordable housing; most owners are corporations based in other cities and even other states. A neighborhood development corporation could enable tenants in buildings that a
- m. To fix unsafe houses
- n. Rent control units
- o. Affordable housing is one that is low maintenance so that renters can stay in place long enough to begin saving. That means energy efficient and greywater systems installed.
- p. I'm not qualified to answer this effectively however there are community members that work with the homeless populations, they should be listened to.
- q. Funding for new construction and rehabilitation of vacant buildings into homeless housing, transitional housing such as using shipping containers (low cost solution), financing of housing trust fund to be financed by recording taxes, location of affordable housing in Utica suburbs
- r. We need high-quality housing on the bus line and near services for individuals and families.

**Q6: For rental assistance, what specific needs do you see in our community?
How do you think HOME-ARP funds could be used to address those needs?**

- a. Senior Citizens
- b. Rental assistance should come with a required training program on how to maintain a home / apartment and budgetary lessons. I know that little can be done about tenants skewed priorities, but there are many people in this community that let their homes and apartments decay because they don't know how to take care of their living quarters. Also, it's one thing to make rent, but utilities, cleaning supplies, security, etc. need to be taken into budgetary consideration.
- c. Emergency Services Only
- d. I just hear about rent prices that people with low paying jobs would not be able to afford. I think we have available housing, it's just too expensive for low income people. The funds could subsidize rent.
- e. Only rental assistance for working people
- f. Same qualifications
- g. Those in low income
- h. I think rental assistance along with other housing related supports would be very valuable.

- i. Off set rent when it exceeds 30% of a household income
- j. There is a broad need for rental assistance. Many individuals who qualify for assistance such as Section 8 based on their income are stuck on waiting lists due to the limited funding of these programs. Other individuals whose income is just above the limits for existing programs fall into a gap where they cannot afford market rate rent but cannot qualify for assistance. Many tenants also do not have a financial safety net, meaning that an illness or unexpected expense can destabilize their ability to afford rent for many months. HOME-ARP funds could be used to establish rental assistance programs for individuals who do not qualify for other programs. HOME-ARP funds could also be used to establish an emergency assistance program for tenants who temporarily are unable to pay their rent or have rental arrears from being temporarily unable to pay.
- k. Fixing old houses
- l. Security deposits
- m. Renters should be allowed to have savings accounts so they can move up. They shouldn't be penalized for coming out of poverty. Increase the median amount people can make and accept support.
- n. Utica needs more affordable housing
- o. Rental assistance should be combined with mediation and legal assistance, eviction prevention loan fund,
- p. I know that so many of our people are provided with such a small amount of \$ that they're nearly forced into apartments that have deplorable conditions.

Q7: For supplementing ESG services, what specific needs do you see in our community? How do you think HOME-ARP funds could be used to address those needs?

- a. Emergency solutions need to be for emergency situations, not everyday respite from responsible living. The areas I've already identified in earlier responses would prevent a lot of "emergencies"
- b. The water fountains working at all the parks
- c. Increase shelter for homeless
- d. Youth in need
- e. Community groups
- f. Make sure the grants pay the administrative costs
- g. There is no "one-stop shop" for housing listings in the Utica area. Simplifying the apartment-finding process for tenants would make it much easier for tenants to connect with the units they can afford. Tenants also frequently need help applying for housing, especially if there are documentation requirements for affordable housing. In addition, many tenants have intersecting issues such as food insecurity or health problems that make it hard to find and keep housing on their own.

Establishing a program of social workers who assist tenants in applying for housing and related services and who follow up on tenants' situations past the initial application would greatly benefit these individuals.

- h. Unsure
- i. Effective shelters should embrace a Housing First approach, offer immediate and low-barrier access to anyone facing a housing crisis, and measure shelter performance in order to improve results.
- j. Increased funding for the housing authority to pay for full-time staff to operate homeless street outreach, rental counseling, and eviction prevention
- k. The financial assistance that we have been afforded makes a HUGE difference to our bottom line. Staffing is very difficult and the extra funds assist us greatly.

Q8: For non-congregate shelter (i.e., individual rooms rather than traditional homeless shelter), what specific needs do you see in our community? How do you think HOME-ARP funds could be used to address those needs?

- a. Again these phones will be crucial to provide more individualized private living spaces for homeless individuals
- b. Shouldn't
- c. I understand the "dignity" part of individual rooms, but for individuals that fail to engage in a service plan intended to get them OUT of the shelter settings there should be some earning process to be provided with such accommodations. Giving someone who does nothing to help themselves, disregards rules, fails to change behavior or engage in available treatment services to ameliorate the conditions that led to their homelessness, continuing to cycle them through solutions that produce no results will never pay for itself.
- d. Individual rooms
- e. More free certifications for the working class
- f. Youth shelters female, male, all gender
- g. Mental health including addiction treatment
- h. Many individuals have had terrible experiences such as assault at congregate shelters and would rather be on the street than in a congregate shelter as they feel it is safer. Shelters with individual rooms
- i. More
- j. apartment or duplex housing on bus routes to support facilities(addiction day treatment)
- k. There are many buildings downtown which need remediation. Do that, and make them energy and water efficient. Then house people in them until they can get back on their feet.
- l. Studio apartments, apartment sharing, Co-housing, treatment communities, and cooperative housing should be considered. Many disabled do not feel safe in

shelters. There should shelters for families. LGBTQ considerations should be respected.

- m. Our shelter does provide individual rooms for families - so not all congregate shelters are equal.

Q9: Is there anything else you would like to add?

- a. Things need to be relooked at with regards to the American Rescue Plan. It was well intended to respond to the many crises created by an unforeseen and unprecedented pandemic. Many of the "solutions" were enacted in desperation and without though about the long-term impact. There are many out there that weren't affected by the pandemic at all that are benefitting from the results that came from the emergency actions. The funding being wasted on helping those who don't want help (and actually refuse it) . There is plenty of need in this Country where these dollars could make a real difference in lives.,
- b. It needs to be in all areas of the city not just the central part of the city
- c. Help with opening daycare centers and activities for kids
- d. Just give us options on options
- e. Help youth please
- f. Use a Housing First approach, safe and appropriate diversion, immediate and low-barrier access to shelter, housing-focused services, and using data to measure performance. https://youtu.be/2b_7kPrFLMo
- g. Trust the homeless population to work with the city to find solutions that work for the homeless population.
- h. Opinions are my own and do not represent any organization. In response to your survey, here are some potential ways the Housing Authority could use HOME-ARP funds to benefit those in need. (These ideas are intended for discussion purposes only.) 1, Those who are experiencing homelessness; Continued funding of the Coordinated Homeless Program. Our Coordinated Homeless Response System now has empirical data demonstrating the value of a homeless partnership among the Salvation Army, Rescue Mission, and the Housing Authority. Funding would enable the project to maintain the day-time drop in centers and expand evening services. A special focus of this initiatives would enable the housing authority to hire a professional full-time Homeless Street Outreach Worker to engage with homeless people on the street. Our ESG funds have not been sufficient to operate a full-scale program. In addition, these funds would help to cover the cost for the continued operation of the Green Team program as well as program enhancements such as career, job and education advisement. 2, Those at risk of homelessness; Funding of an on-going eviction prevention and counseling program. The proposed program would involve housing counseling, legal assistance, emergency rental assistance, financial literacy, and other supportive services. This program is designed to divert cases from formal legal proceedings via negotiation, and in combination with legal

assistance or other supports. The program would do more than provide emergency rental assistance. It would address renters' needs holistically, using a People First Approach. Job or income issues usually trigger evictions. Counseling staff will help tenants deal with adjacent issues that also threaten housing stability, such as depleted savings, unpaid utility bills, high-cost debt, and health challenges. Funding would be used to hire professional staff and pay for an eviction prevention loan fund. 4, Populations with high risk of housing instability (including households that are low-income and highly cost-burdened; that have moved two or more times in the last 60 days; and that are living in a hotel/motel). Funding of a rental housing counseling program at People First (MHA); Through our AmeriCorps program, we have provided rental housing counseling services for over ten years to help people who face barriers to housing find apartments and be responsible tenants. There is no rental housing counseling service in Utica. We have developed the Rent Right Curriculum that trains clients to find and maintain housing. It is important to have sufficient funding to hire professional counselors. The rental housing counseling agency would conduct outreach to landlords and develop a digital data base of apartments and landlords. Funds would be used to pay for staff to operate the center as a demonstration project. The goal would be to use the HOME-ARP funds to establish a permanent rental housing counseling agency through HUD and private foundations. These services would complement our existing Section 8 and public housing program. We greatly appreciate the efforts of the Mayor and the Department of Urban and Economic Development to help the housing authority to serve the homeless and housing vulnerable. The City of Utica has been a strong ally for our programs and services. We greatly appreciate all you do. Please let me know if you need additional information. These recommendations are based upon what works in the field. We would like to thank you for this opportunity to provide comments on the use of HOME ARP funding.

- i. Emmaus House is one part of our emergency shelter system that provides for a critical need in our community. Providing a safe, loving, and supportive environment for families in need of emergency housing.

Appendix F: City of Utica, NY CHAS Data (2022)

Comprehensive Housing Affordability Strategy ("CHAS") data

Summary Level: MCD

Created on: March 10, 2023

Data for: Utica city, Oneida County, New York

Year Selected: 2015-2019 ACS

| Income Distribution Overview | Owner | Renter | Total |
|-------------------------------------------------------------------------------------------------|-------------------------------|------------------------------------------|--------|
| Household Income less-than or= 30% HAMFI | 955 | 4,700 | 5,655 |
| Household Income >30% to less-than or= 50% HAMFI | 1,375 | 2,675 | 4,050 |
| Household Income >50% to less-than or= 80% HAMFI | 2,135 | 2,000 | 4,135 |
| Household Income >80% to less-than or=100% HAMFI | 1,400 | 930 | 2,330 |
| Household Income >100% HAMFI | 5,150 | 1,605 | 6,755 |
| Total | 11,010 | 11,910 | 22,920 |
| Housing Problems Overview 1 | Owner | Renter | Total |
| Household has at least 1 of 4 Housing Problems | 2,235 | 6,520 | 8,755 |
| Household has none of 4 Housing Problems OR cost burden not available, no other problems | 8,775 | 5,390 | 14,165 |
| Total | 11,010 | 11,910 | 22,920 |
| Severe Housing Problems Overview 2 | Owner | Renter | Total |
| Household has at least 1 of 4 Severe Housing Problems | 935 | 4,175 | 5,110 |
| Household has none of 4 Severe Housing Problems OR cost burden not available, no other problems | 10,075 | 7,735 | 17,810 |
| Total | 11,010 | 11,910 | 22,920 |
| Housing Cost Burden Overview 3 | Owner | Renter | Total |
| Cost Burden less-than or= 30% | 8,800 | 5,330 | 14,130 |
| Cost Burden >30% to less-than or= 50% | 1,300 | 2,570 | 3,870 |
| Cost Burden >50% | 774 | 3,595 | 4,369 |
| Cost Burden not available | 135 | 415 | 550 |
| Total | 11,010 | 11,910 | 22,920 |
| Income by Housing Problems (Owners and Renters) | Household has at least 1 of 4 | Household has none of 4 Housing Problems | Total |

| | Housing Problems | OR cost burden not available, no other problems | |
|---------------------------------------------------|-------------------------------|-------------------------------------------------|--------|
| Household Income less-than or= 30% HAMFI | 4,480 | 1,170 | 5,655 |
| Household Income >30% to less-than or= 50% HAMFI | 2,725 | 1,325 | 4,050 |
| Household Income >50% to less-than or= 80% HAMFI | 1,020 | 3,110 | 4,135 |
| Household Income >80% to less-than or= 100% HAMFI | 285 | 2,050 | 2,330 |
| Household Income >100% HAMFI | 240 | 6,510 | |
| Total | 8,755 | 14,165 | 22,920 |
| Income by Housing Problems (Renters only) | Household has at least 1 of 4 | Household has none of 4 Housing Problems | Total |
| | Housing Problems | OR cost burden not available, no other problems | |
| Household Income less-than or= 30% HAMFI | 3,765 | 935 | 4,700 |
| Household Income >30% to less-than or= 50% HAMFI | 2,025 | 650 | 2,675 |
| Household Income >50% to less-than or= 80% HAMFI | 510 | 1,485 | 2,000 |
| Household Income >80% to less-than or= 100% HAMFI | 135 | 800 | 930 |
| Household Income >100% HAMFI | 80 | 1,520 | 1,605 |
| Total | 6,520 | 5,390 | 11,910 |
| Income by Housing Problems (Owners only) | Household has at least 1 of 4 | Household has none of 4 Housing Problems | Total |
| | Housing Problems | OR cost burden not available, no other problems | |
| Household Income less-than or= 30% HAMFI | 715 | 235 | 955 |
| Household Income >30% to less-than or= 50% HAMFI | 700 | 675 | 1,375 |
| Household Income >50% to less-than or= 80% HAMFI | 510 | 1,625 | 2,135 |
| Household Income >80% to less-than or= 100% HAMFI | 150 | 1,250 | 1,400 |

| | | | |
|---------------------------------------------------|-------------------|-------------------|--------|
| Household Income >100% HAMFI | 160 | 4,990 | 5,150 |
| Total | 2,235 | 8,775 | 11,010 |
| Income by Cost Burden (Owners and Renters) | Cost burden > 30% | Cost burden > 50% | Total |
| Household Income less-than or= 30% HAMFI | 4,410 | 3,480 | 5,655 |
| Household Income >30% to less-than or= 50% HAMFI | 2,565 | 660 | 4,050 |
| Household Income >50% to less-than or= 80% HAMFI | 910 | 165 | 4,135 |
| Household Income >80% to less-than or= 100% HAMFI | 240 | 20 | 2,330 |
| Household Income >100% HAMFI | 120 | 50 | 6,755 |
| Total | 8,245 | 4,369 | 22,920 |
| Income by Cost Burden (Renters only) | Cost burden > 30% | Cost burden > 50% | Total |
| Household Income less-than or= 30% HAMFI | 3,705 | 2,985 | 4,700 |
| Household Income >30% to less-than or= 50% HAMFI | 1,890 | 475 | 2,675 |
| Household Income >50% to less-than or= 80% HAMFI | 435 | 80 | 2,000 |
| Household Income >80% to less-than or= 100% HAMFI | 90 | 10 | 930 |
| Household Income >100% HAMFI | 45 | 45 | 1,605 |
| Total | 6,165 | 3,595 | 11,910 |
| Income by Cost Burden (Owners only) | Cost burden > 30% | Cost burden > 50% | Total |
| Household Income less-than or= 30% HAMFI | 705 | 495 | 955 |
| Household Income >30% to less-than or= 50% HAMFI | 675 | 185 | 1,375 |
| Household Income >50% to less-than or= 80% HAMFI | 470 | 80 | 2,135 |
| Household Income >80% to less-than or= 100% HAMFI | 150 | 10 | 1,400 |
| Household Income >100% HAMFI | 74 | 4 | 5,150 |
| Total | 2,074 | 774 | 11,010 |

1. The four housing problems are: incomplete kitchen facilities, incomplete plumbing facilities, more than 1 person per room, and cost burden greater than 30%.
2. The four severe housing problems are: incomplete kitchen facilities, incomplete plumbing facilities, more than 1 person per room, and cost burden greater than 50%.
3. Cost burden is the ratio of housing costs to household income. For renters, housing cost is gross rent (contract rent plus utilities). For owners, housing cost is "select monthly owner costs", which includes mortgage payment, utilities, association fees, insurance, and real estate taxes.

Appendix G: City of Utica, NY

February 23, 2022 Point-in-Time Count

2022 Point-in-Time Count NY-518 Utica, Rome/Oneida, Madison Counties CoC

Population: Sheltered and Unsheltered Count

Persons in Households with at least one Adult and one Child

| | Sheltered | | Unsheltered | Total |
|---------------------------------------------|-----------|--------------|-------------|-------|
| | Emergency | Transitional | | |
| Total Number of Households | 22 | 7 | 0 | 27 |
| Total Number of persons (Adults & Children) | 63 | 22 | 0 | 85 |
| Number of Persons (under age 18) | 32 | 13 | 0 | 45 |
| Number of Persons (18 - 24) | 4 | 4 | 0 | 8 |
| Number of Persons (over age 24) | 27 | 5 | 0 | 32 |

| Gender (adults and children) | Sheltered | | Unsheltered | Total |
|----------------------------------------------|-----------|--------------|-------------|-------|
| | Emergency | Transitional | | |
| Female | 38 | 14 | 0 | 50 |
| Male | 27 | 8 | 0 | 35 |
| Gender that is not singularly Female or Male | 0 | 0 | 0 | 0 |
| Questioning | 0 | 0 | 0 | 0 |
| Transgender | 0 | 0 | 0 | 0 |

| Ethnicity (adults and children) | Sheltered | | Unsheltered | Total |
|---------------------------------|-----------|--------------|-------------|-------|
| | Emergency | Transitional | | |
| Non-Hispanic/Latin(a)(o)(x) | 55 | 19 | 0 | 74 |
| Hispanic/Latin(a)(o)(x) | 8 | 3 | 0 | 11 |

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2022 Point-in-Time Count NY-518 Utica, Rome/Oneida, Madison Counties CoC

| Race (adults and children) | Sheltered | | Unsheltered | Total |
|------------------------------------------------------------------|-----------|--------------|-------------|-------|
| | Emergency | Transitional | | |
| American Indian, Alaska Native, or Indigenous | 0 | 0 | 0 | 0 |
| Asian or Asian American | 0 | 0 | 0 | 0 |
| Black/African American, or African American, or Pacific Islander | 10 | 0 | 0 | 10 |
| Native Hawaiian or Pacific Islander | 0 | 0 | 0 | 0 |
| White | 43 | 18 | 0 | 61 |
| Multiple Races | 10 | 4 | 0 | 14 |

| Chronically Homeless (adults and children) | Sheltered | | Unsheltered | Total |
|--------------------------------------------|-----------|--------------|-------------|-------|
| | Emergency | Transitional | | |
| Total number of households | 0 | 0 | 0 | 0 |
| Total number of persons | 0 | 0 | 0 | 0 |

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Population: Sheltered and Unsheltered Count

Persons in Households with only Children

| | Sheltered | | | Unsheltered | Total |
|-----------------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Total Number of Households | 0 | 0 | 0 | 0 | 0 |
| Total Number of children (under age 18) | 0 | 0 | 0 | 0 | 0 |

| Gender (only children) | Sheltered | | | Unsheltered | Total |
|----------------------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Female | 0 | 0 | 0 | 0 | 0 |
| Male | 0 | 0 | 0 | 0 | 0 |
| Gender that is not singularly Female or Male | 0 | 0 | 0 | 0 | 0 |
| Questioning | 0 | 0 | 0 | 0 | 0 |
| Transgender | 0 | 0 | 0 | 0 | 0 |

| Ethnicity (only children) | Sheltered | | | Unsheltered | Total |
|-----------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Non-Hispanic/Latin(a)(o)(x) | 0 | 0 | 0 | 0 | 0 |
| Hispanic/Latin(a)(o)(x) | 0 | 0 | 0 | 0 | 0 |

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| Race (only children) | Sheltered | | | Unsheltered | Total |
|------------------------------------------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| American Indian, Alaska Native, or Indigenous | 0 | 0 | 0 | 0 | 0 |
| Asian or Asian American | 0 | 0 | 0 | 0 | 0 |
| Black/African American, or African American, or Pacific Islander | 0 | 0 | 0 | 0 | 0 |
| Native Hawaiian or Pacific Islander | 0 | 0 | 0 | 0 | 0 |
| White | 0 | 0 | 0 | 0 | 0 |
| Multiple Races | 0 | 0 | 0 | 0 | 0 |

| Chronically Homeless (only children) | Sheltered | | | Unsheltered | Total |
|--------------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Total number of persons | 0 | 0 | 0 | 0 | 0 |

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2022 Point-in-Time Count NY-518 Utica, Rome/Oneida, Madison
Counties CoC

Population: Sheltered and Unsheltered Count

Persons in Households without Children

| | Sheltered | | | Unsheltered | Total |
|----------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Total Number of Households | 112 | 12 | 0 | 24 | 148 |
| Total Number of persons (adults) | 121 | 13 | 0 | 26 | 159 |
| Number of Persons (18 - 24) | 14 | 1 | 0 | 3 | 18 |
| Number of Persons (over age 24) | 107 | 12 | 0 | 22 | 141 |

| Gender (adults) | Sheltered | | | Unsheltered | Total |
|----------------------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Female | 24 | 4 | 0 | 7 | 35 |
| Male | 95 | 9 | 0 | 18 | 122 |
| Gender that is not singularly Female or Male | 0 | 0 | 0 | 0 | 0 |
| Questioning | 0 | 0 | 0 | 0 | 0 |
| Transgender | 2 | 0 | 0 | 0 | 2 |

| Ethnicity (adults) | Sheltered | | | Unsheltered | Total |
|-----------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Non-Hispanic/Latin(a)(o)(x) | 110 | 12 | 0 | 20 | 142 |
| Hispanic/Latin(a)(o)(x) | 11 | 1 | 0 | 5 | 17 |

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5

2022 Point-in-Time Count NY-518 Utica, Rome/Oneida, Madison
Counties CoC

| Race (adults) | Sheltered | | | Unsheltered | Total |
|-----------------------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| American Indian, Alaska Native, or Indigenous | 0 | 0 | 0 | 1 | 1 |
| Asian or Asian American | 2 | 0 | 0 | 0 | 2 |
| Black African American, or African American | 38 | 4 | 0 | 5 | 48 |
| Native Hawaiian or Pacific Islander | 0 | 0 | 0 | 0 | 0 |
| White | 77 | 9 | 0 | 16 | 102 |
| Multiple Races | 6 | 0 | 0 | 3 | 9 |

| Chronically Homeless (adults) | Sheltered | | | Unsheltered | Total |
|-------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Total number of persons | 14 | | 0 | 11 | 25 |

10/21/2022 5:18:33 PM

6

Date of PIT Count: 2/23/2022

Population: Sheltered and Unsheltered Count

Total Households and Persons

| | Sheltered | | | Unsheltered | Total |
|-----------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Total Number of Households | 132 | 19 | 0 | 24 | 175 |
| Total Number of Persons | 164 | 35 | 0 | 25 | 244 |
| Number of Children (under age 18) | 32 | 13 | 0 | 0 | 45 |
| Number of Persons (18 to 24) | 18 | 5 | 0 | 3 | 26 |
| Number of Persons (over age 24) | 134 | 17 | 0 | 22 | 173 |

| Gender | Sheltered | | | Unsheltered | Total |
|----------------------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Female | 60 | 16 | 0 | 7 | 85 |
| Male | 122 | 17 | 0 | 18 | 167 |
| Gender that is not singularly Female or Male | 0 | 0 | 0 | 0 | 0 |
| Questioning | 0 | 0 | 0 | 0 | 0 |
| Transgender | 2 | 0 | 0 | 0 | 2 |

| Ethnicity | Sheltered | | | Unsheltered | Total |
|-----------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Non-Hispanic/Latin(a)(o)(x) | 165 | 31 | 0 | 20 | 216 |
| Hispanic/Latin(a)(o)(x) | 19 | 4 | 0 | 5 | 28 |

Race

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7

Point-In-Time Summary for NY-518 - Utica, Rome/Oneida, Madison Counties CoC

| | Sheltered | | | Unsheltered | Total |
|-----------------------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| American Indian, Alaska Native, or Indigenous | 0 | 0 | 0 | 1 | 1 |
| Asian or Asian American | 2 | 0 | 0 | 0 | 2 |
| Black African American, or African American | 46 | 4 | 0 | 5 | 65 |
| Native Hawaiian or Pacific Islander | 0 | 0 | 0 | 0 | 0 |
| White | 120 | 27 | 0 | 16 | 163 |
| Multiple Races | 16 | 4 | 0 | 3 | 23 |

| Chronically Homeless | Sheltered | | | Unsheltered | Total |
|-------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Total number of persons | 14 | | 0 | 11 | 25 |

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8

Point-in-Time Count Veterans NY-518 Utica, Rome/Oneida, Madison Counties CoC (2022)
Inventory Count Date: 2/23/2022
Population: Sheltered and Unsheltered Count

Persons in Households with at least one Adult and one Child

| | Sheltered | | Unsheltered | Total |
|----------------------------|-----------|--------------|-------------|-------|
| | Emergency | Transitional | | |
| Total Number of Households | 0 | 0 | 0 | 0 |
| Total Number of Persons | 0 | 0 | 0 | 0 |
| Total Number of Veterans | 0 | 0 | 0 | 0 |

| Gender (veterans only) | Sheltered | | Unsheltered | Total |
|----------------------------------------------|-----------|--------------|-------------|-------|
| | Emergency | Transitional | | |
| Female | 0 | 0 | 0 | 0 |
| Male | 0 | 0 | 0 | 0 |
| Gender that is not singularly Female or Male | 0 | 0 | 0 | 0 |
| Questioning | 0 | 0 | 0 | 0 |
| Transgender | 0 | 0 | 0 | 0 |

| Ethnicity (veterans only) | Sheltered | | Unsheltered | Total |
|---------------------------|-----------|--------------|-------------|-------|
| | Emergency | Transitional | | |
| Non-Hispanic/Latin(a)(x) | 0 | 0 | 0 | 0 |
| Hispanic/Latin(a)(x) | 0 | 0 | 0 | 0 |

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1

Point-in-Time Count Veterans NY-518 Utica, Rome/Oneida, Madison Counties CoC (2022)

| Race (veterans only) | Sheltered | | Unsheltered | Total |
|-----------------------------------------------|-----------|--------------|-------------|-------|
| | Emergency | Transitional | | |
| American Indian, Alaska Native, or Indigenous | 0 | 0 | 0 | 0 |
| Asian or Asian American | 0 | 0 | 0 | 0 |
| Black, African American, or African | 0 | 0 | 0 | 0 |
| Native Hawaiian or Pacific Islander | 0 | 0 | 0 | 0 |
| White | 0 | 0 | 0 | 0 |
| Multiple Races | 0 | 0 | 0 | 0 |

| Chronically Homeless (veterans only) | Sheltered | | Unsheltered | Total |
|--------------------------------------|-----------|--------------|-------------|-------|
| | Emergency | Transitional | | |
| Total number of households | 0 | | 0 | 0 |
| Total number of persons | 0 | | 0 | 0 |

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2

Inventory Count Date: 2/23/2022
Population: Sheltered and Unsheltered Count

Persons in Households without Children

| | Sheltered | | | Unsheltered | Total |
|----------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Total Number of Households | 8 | 10 | 0 | 0 | 16 |
| Total Number of Persons | 8 | 11 | 0 | 0 | 20 |
| Total Number of Veterans | 6 | 10 | 0 | 0 | 16 |

| Gender (veterans only) | Sheltered | | | Unsheltered | Total |
|----------------------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Female | 2 | 1 | 0 | 0 | 3 |
| Male | 4 | 9 | 0 | 0 | 13 |
| Gender that is not singularly Female or Male | 0 | 0 | 0 | 0 | 0 |
| Questioning | 0 | 0 | 0 | 0 | 0 |
| Transgender | 0 | 0 | 0 | 0 | 0 |

| Ethnicity (veterans only) | Sheltered | | | Unsheltered | Total |
|---------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Non-Hispanic/Latin(a)(x) | 6 | 9 | 0 | 0 | 15 |
| Hispanic/Latin(a)(x) | 0 | 1 | 0 | 0 | 1 |

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3

Point-in-Time Count NY-518 Utica, Rome/Oneida, Madison Counties CoC (2022)

| Race (veterans only) | Sheltered | | | Unsheltered | Total |
|-----------------------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| American Indian, Alaska Native, or Indigenous | 0 | 0 | 0 | 0 | 0 |
| Asian or Asian American | 0 | 0 | 0 | 0 | 0 |
| Black, African American, or African | 0 | 3 | 0 | 0 | 3 |
| Native Hawaiian or Pacific Islander | 0 | 0 | 0 | 0 | 0 |
| White | 8 | 7 | 0 | 0 | 15 |
| Multiple Races | 0 | 0 | 0 | 0 | 0 |

| Chronically Homeless (veterans only) | Sheltered | | | Unsheltered | Total |
|--------------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Total number of persons | 1 | 0 | 0 | 0 | 1 |

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4

Point-in-Time Summary Veterans for NY-518 - Utica, Rome/Oneida, Madison Counties CoC

Date of PIT Count: 2/23/2022
Population: Sheltered and Unsheltered Count

| | Sheltered | | | Unsheltered | Total |
|----------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Total Number of Households | 6 | 10 | 0 | 0 | 16 |
| Total Number of Persons | 9 | 11 | 0 | 0 | 20 |
| Total Number of Veterans | 6 | 10 | 0 | 0 | 16 |

Gender

| | Sheltered | | | Unsheltered | Total |
|--------------------------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Female | 2 | 1 | 0 | 0 | 3 |
| Male | 4 | 9 | 0 | 0 | 13 |
| Gender that is not singularly 'Female' or 'Male' | 0 | 0 | 0 | 0 | 0 |
| Questioning | 0 | 0 | 0 | 0 | 0 |
| Transgender | 0 | 0 | 0 | 0 | 0 |

Ethnicity

| | Sheltered | | | Unsheltered | Total |
|------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Non-Hispanic/Latin (a)(b)(c) | 6 | 9 | 0 | 0 | 15 |
| Hispanic/Latin(a)(b)(c) | 0 | 1 | 0 | 0 | 1 |

Race

| | Sheltered | | | Unsheltered | Total |
|--|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |

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5

Point-In-Time Summary for NY-518 - Utica, Rome/Oneida, Madison Counties CoC

| | | | | | |
|-----------------------------------------------|---|---|---|---|----|
| American Indian, Alaska Native, or Indigenous | 0 | 0 | 0 | 0 | 0 |
| Asian or Asian American | 0 | 0 | 0 | 0 | 0 |
| Black African American, or African American | 0 | 3 | 0 | 0 | 3 |
| Native Hawaiian or Pacific Islander | 0 | 0 | 0 | 0 | 0 |
| White | 6 | 7 | 0 | 0 | 13 |
| Multiple Races | 0 | 0 | 0 | 0 | 0 |

Chronically Homeless

| | Sheltered | | | Unsheltered | Total |
|-------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Total number of persons | 1 | | 0 | 0 | 1 |

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6

Additional Homeless Populations Summary for NY-518 - Utica, Rome/Oneida, Madison Counties CoC

Date of PIT Count: 2/23/2022
Population: Sheltered and Unsheltered Count

Other Homeless Subpopulations

| | Sheltered | | | Unsheltered | Total |
|--------------------------------------|-----------|--------------|------------|-------------|-------|
| | Emergency | Transitional | Safe Haven | | |
| Adults with a Serious Mental Illness | 17 | 3 | 0 | 16 | 36 |
| Adults with a Substance Use Disorder | 17 | 3 | 0 | 11 | 31 |
| Adults with HIV/AIDS | 2 | 0 | 0 | 0 | 2 |
| Adult Survivors of Domestic Violence | 13 | 2 | 0 | 7 | 22 |

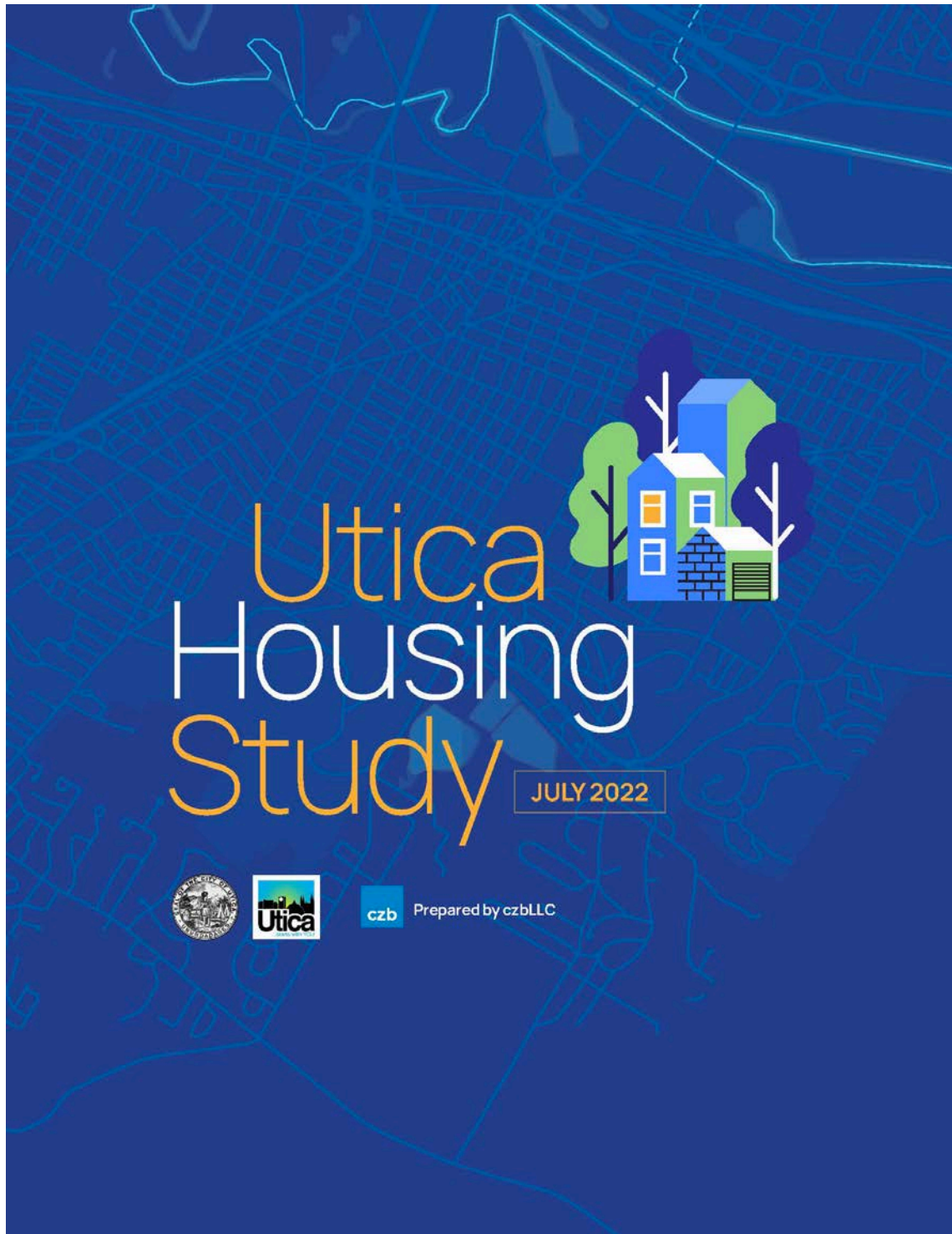
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1

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Appendix H: Utica Housing Study – July 2022 (CZB, LLC)





Utica Housing Study

JULY 2022

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2 UTICA HOUSING STUDY | czb LLC

UTICA HOUSING STUDY | czb LLC 3

Introduction

Like many American communities in 2022, Utica is a place that struggles to make sense of its housing market—or what it should do about it—especially in the wake of the COVID-19 pandemic.

Is it red-hot or lukewarm? Has it recovered from decades of stagnancy or is it still recovering? Is the housing supply keeping up with demand or is it falling behind? Who is benefiting from recent housing market trends and who is not?

There are many seemingly contradictory storylines that make it easy to get lost. On the one hand, Utica's population has been growing faster than any of its upstate peers. Its refugee resettlement efforts have given the city an international perspective and national recognition. Downtown has improved by leaps and bounds from what it was in the 1990s, with hundreds of new apartments, a crop of dynamic new businesses, a brand new hospital campus, and a bright outlook. Hundreds of new affordable housing units have been built in the past decade. And major economic development initiatives in the region, including WolfSpeed, promise to pull the city firmly into the economy of the 2020s.

On the other hand, thousands of households struggle to pay for housing that is usually in poor condition. Poverty is still high and extremely concentrated. Downtown and its surroundings still feel empty and worn much of the time. Some neighborhoods that were paragons of health as late as the 1950s are now suffering from visible disinvestment. A soon-to-be-closed hospital campus is a big question mark in a key location. And there is no guarantee that Utica

will experience its fair share of WolfSpeed's impact, or even the economic impact of the new hospital.

A reality that is complex but clear

All of these storylines—the optimistic and the troubling—are simultaneously true. Utica is a complicated community at a particularly compelling moment in its history. Its people, its housing, its economy, its civic life—all reveal a patchwork of hope and doubt if studied closely.

But this complexity does not, ultimately, obscure some fundamental realities at the core of Utica's housing market. As work for this housing study has made clear, **housing strategies in Utica must respond to two related but different challenges: high levels of need and low levels of demand. Each requires a different approach and, in the context of a finite municipal budget, the imperative to do more with less.**

To respond to high need, housing strategies must close affordability gaps in ways that deconcentrate poverty, put families and children in positions to succeed, and strengthen the asset value of the city's housing supply in the process. To respond to low demand, housing strategies must grow the confidence of households—their willingness to pay for and improve housing in Utica—by focusing scarce resources intensively, spurring measurable and meaningful reinvestment, and leading to the emergence of ever stronger residential blocks.

Strategies that are responsive to these core realities will allow Utica to be proactive about improving the housing supply and creating stronger neighborhoods for residents at all income levels while also growing the city's capacity to robustly invest in community priorities.



4 UTICA HOUSING STUDY | czb LLC

How to use this study

This Utica Housing Study was conducted between March and June, 2022, to analyze housing conditions and trends in Utica, define challenges and opportunities related to housing, and identify feasible strategies to support a stronger and healthier housing market.

The findings and recommendations are divided into three parts:

PART 1

Utica's Housing Market: Conditions, Trends, and Key Issues

Part 1 provides an overview of supply and demand trends in the City of Utica's housing market and places it within the context of the broader regional market. It defines "need" and "demand" and their influence on housing investments, analyzes the distribution of demand across city sub-markets, and distills the overriding issues that shape decision making on housing investment and policy in Utica.

PART 2

Housing Policy and Investment Framework

Based on the findings of Part 1, Part 2 outlines a principles-based framework for decision-making. The principles emphasize the imperative to make the most out of limited resources—to ensure that interventions achieve multiple aims, are focused to have sufficient impact, and are responsive to market conditions.

PART 3

Strategic Opportunities

The final part applies the framework outlined in Part 2 by identifying a series of strategic opportunities that would be responsive to the city's housing market realities. They demonstrate focused, multi-pronged interventions that would be likely to improve demand, grow the community's capacity to address housing needs, and create good housing opportunities for households across the income spectrum.

Together, these three parts are designed to help the City of Utica and its partners formulate a responsive, well-coordinated housing strategy guided by a clear understanding of problems to solve, principles to apply, and opportunities to seize.

UTICA HOUSING STUDY | czb LLC 5

PART 1 Utica's Housing Market: Conditions, Trends, and Key Issues

Population growth, a proliferation of new downtown housing, and persistent affordability problems are among the housing trends and issues that most Uticans are aware of from the past decade or two.

When placed within the full context of Utica's housing market and its relationship to Oneida County, these issues become part of a complex housing market portrait with a few essential takeaways: levels of housing need are highly concentrated in the city, regional housing demand is underrepresented in the city, and a wide range of sub-markets provide a useful lens for understanding housing challenges and opportunities at the neighborhood-level.



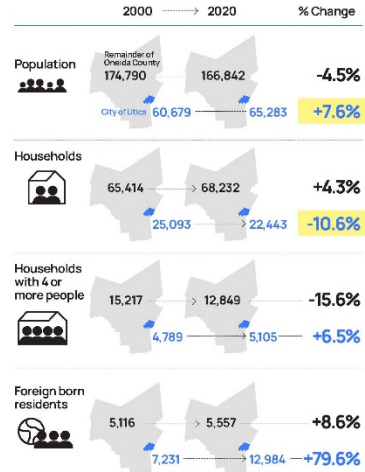
UTICA HOUSING STUDY | 01-01-2020

Utica's population is growing, but...

Until the 2010 Census, the City of Utica had experienced population loss for nearly 70 years, dropping by 4,000 (or 60%) between 1930 and 2000. The consequences of population loss and the resulting drop in demand for housing—on vacancy rates, property conditions, home values, reinvestment levels, and Utica's tax base—were, and continue to be, dramatic.

Now, for two consecutive Census periods, the city's population has grown. Not only has it grown, it has grown at a faster pace (7.6%) than New York State as a whole.

But the impact of population growth on the Utica housing market is not clear-cut. For one thing, the total number of households in Utica has actually declined by more than 10% since 2000 due, in part, to growth in household sizes and an expansion of large households—a trend that runs counter to the continued shrinking of households in the rest of the U.S. This can be tied directly to Utica's status as a major refugee family resettlement center—by far the largest factor in the city's population growth.



UTICA HOUSING STUDY | 01-01-2020

Who consumes housing in Utica and Oneida County?

The net decline in households since 2000 is significant to the Utica housing market because a household—the person or group of people who occupy an apartment or a single-family house—are the unit of consumption for housing. Fewer households means fewer housing consumers. But the decline in households, too, is not a clear-cut story. Not every household has the same impact on the housing market. An especially important distinction to make—one that helps to determine the problems that need solving and how to intervene with responsive policies and tools—is between households that represent demand for housing and households that represent need for housing.



Need

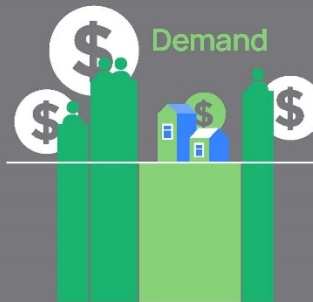
Which consumers represent need for housing?

Need for housing exists when a household has an insufficient ability to pay for housing on the private market and, as a result, has very limited choices. A household that requires assistance to pay for adequate housing represents a need that is either met by some form of public subsidy (an income-qualified unit or rent assistance, for example) or remains an unmet need.



\$35,000 /YR or less

In the context of Utica and Oneida County, households that earn \$35,000 per year, or less, have a very limited ability to pay for housing. Finding housing that is affordable and in good condition almost always requires assistance for these households. They represent need.



Demand

Which consumers represent demand for housing?

Demand for housing exists when a household has sufficient means to pay for housing and is willing to pay for a given unit or location. A household that chooses a home or apartment in Utica and is able to afford their housing payment represents demand for housing.



\$50,000 /YR or more

In the context of Utica and Oneida County, households that earn \$50,000 per year, or more, have a wide range of choices given their ability to pay for housing and prevailing prices and rents. They represent demand.



\$35,000-\$50,000 /YR

Households that earn between \$35,000 to \$50,000 per year in Utica and Oneida County currently exist somewhere in between demand and need. They are rarely considered to be "cost burdened" by their housing (paying more than 30% of income on monthly housing payments). But they may struggle to find suitable housing in good condition and usually earn too much to be eligible for most forms of housing assistance.

UTICA HOUSING STUDY | 01-01-2020

UTICA HOUSING STUDY | 01-01-2020

Housing need in Oneida County has long been concentrated, to some degree, within the City of Utica.

In the 1800s and early 1900s, plentiful jobs in the transportation and manufacturing sectors made the city an employment hub for the region and resulted in waves of in-migration to fill those jobs. Inexpensive housing was built by the private sector to accommodate those laborers and their families—addressing many of the housing needs of Utica's Industrial Age.

As Utica's economy faltered in the second half of the 20th century, a growing number of households suffered from economic dislocation and had few choices but to rely on this aging supply of inexpensive housing, even as it declined in condition. Many subsidized housing units were added to Utica's inventory over time to provide better, more affordable options for those in need. By 2000, the large supply of low-cost housing in Utica—along with low overall cost of living—became a foundational element for refugee resettlement in the city. Today, high concentrations of housing need within the City of Utica are a product of lingering economic hardship for many households in the post-industrial era; the city's status as housing among the least expensive in the region; and suburban settlement patterns that have generally excluded housing for the region's low-income households.

Key findings from an analysis of housing need include:

Need

is stabilizing in Utica

30% of Utica's households earn less than \$35,000 AND are cost-burdened by their housing

Households in Subsidized Housing Units
Oneida County
5,341
Utica
3,358
% in Utica: 63%

Source: HUD's Office of Subsidized Housing, 2010

\$35,000-\$49,999/YR
The rate at which households are cost-burdened by their housing payments falls dramatically past the \$35,000 income mark. Still, while these households will struggle less to pay for housing, their ability to compete for homes and apartments in desirable conditions is limited.

Need remains concentrated in Utica, but is not becoming more concentrated
Utica is home to 25% of all households in Oneida County but 41% of all households that earn less than \$20,000—and can afford to spend no more than \$500 per month on housing. Among county households earning \$20,000 to \$34,999, the share in Utica (29%) was closer to the city's overall share but still higher. These elevated levels of need appear to have stabilized and have actually declined since 2000.

The vast majority of low-income households in Utica are cost-burdened

Fully 87% of households in the city that earn less than \$20,000 spend more than 30% of their monthly incomes on housing and are considered cost-burdened. 56% of households that make \$20,000 to \$34,999 are also cost-burdened. Altogether, 30% of all Utica households (6,644) earn less than \$35,000 and pay 30% or more of their incomes on housing.

Efforts to address need are more heavily concentrated in Utica than the level of need would suggest

While Utica has 35% of all county households who earn less than \$35,000, it has a considerably higher share—63%—of all interventions in the county that are designed to assist households in need. These interventions include public housing units, vouchers, and units of affordable housing that are managed by non-profit agencies. That leaves just under 2,000 subsidized units in the remainder of the county.

Households earning \$35,000 to \$49,999 represent much lower levels of need
The rate at which households are cost-burdened by their housing payments falls dramatically past the \$35,000 income mark. Still, while these households will struggle less to pay for housing, their ability to compete for homes and apartments in desirable conditions is limited.

Need

Utica had 24.8% of all county households in 2000

Every household equates to an occupied housing unit. Individuals experiencing homelessness—a number that typically stands at around 160 in the region, according to the NY Housing and Homeless Coalition—are not counted as households but are part of Utica's housing needs.

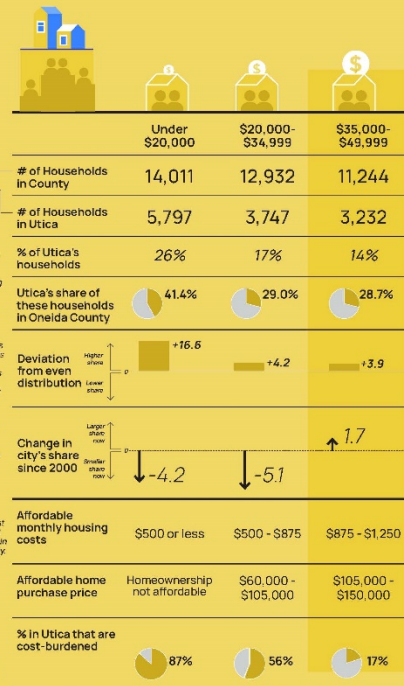
There is the difference between Utica's share of each income category and its share of households in each income category. A positive number means the share is higher than it would be if the income groups were evenly distributed across the county.

This represents how the city's share of each income category in the county has changed—receding or retreating since 2000. A negative number means the city has a smaller share now than in 2000.

The range of affordable monthly housing costs reflects payments that would constitute no more than 30% of monthly income for households in each income category in the county.

Affordable home purchase price: whereas the idea of owning a house is generally effort to buy a house that is 3-times its annual income.

This is the share of households in each income category that are considered to be cost-burdened by their housing due to monthly housing costs (rent or mortgage) that exceed 30% of income.



For much of Utica's history, households with resources and options chose Utica because it made the most sense.

Before cars became ubiquitous and roads made it easy to get around the region, it made sense for people who made their livelihood in the city to also live in the city—for easy access to their jobs, retail, services, good schools, and all of the amenities that emerged over time. Such as the Ormsted park to make Utica a great place to live.

Suburbanization in the middle and late 20th century changed this equation. Jobs spread out and so did shopping and other daily necessities. Thousands of new homes were built in neighboring towns that, thanks to cars, were well within reach of all that was still in Utica. Those with options had far more locations to choose from. And segregated settlement patterns enforced by policies with discriminatory intent ensured that poverty would generally not spread out in the same manner, which led to a sorting of households—with need overrepresented in the city and demand overrepresented in the suburbs.

Despite these challenges, several strong neighborhoods in Utica continue to attract households with options. And the revitalization of downtown Utica and the emergence of new housing options is likely to help, though progress has been slow.

Key findings from an analysis of housing demand include:

Demand

in the city housing market lags the region

These income groups saw little growth
\$50,000 - \$74,999
\$100,000 - \$149,999
This income group declined
\$150,000 or more

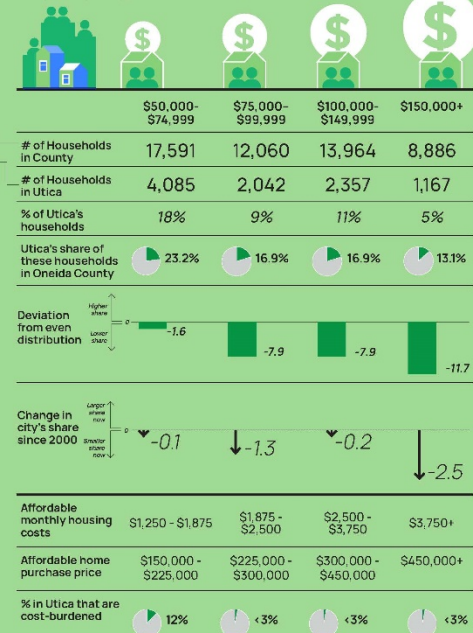
Utica's share of households with options has not grown since 2000
While Utica did not lose serious ground over the past 20 years in terms of its share of households that represent demand, it did not gain ground. Two of the income cohorts (\$50,000-\$74,999 and \$100,000-\$149,999) are estimated to have remained about the same over that period. The other two cohorts got slightly smaller—with households earning \$150,000+ shrinking by 2.5 percentage points.

Why does an imbalance of regional demand matter?

Overall, Utica has 3,369 fewer households earning \$50,000 or more than it would if it had a fair share of housing demand in Oneida County. If those households resided in the city and had an average income of \$100,000, that would represent \$101 million in additional capacity to spend on housing each year by Utica households.

Such an infusion would mean higher levels of reinvestment in existing housing, more support for new housing investments, stronger property values, and a tax base with more capacity to invest in community assets and priorities.

Demand



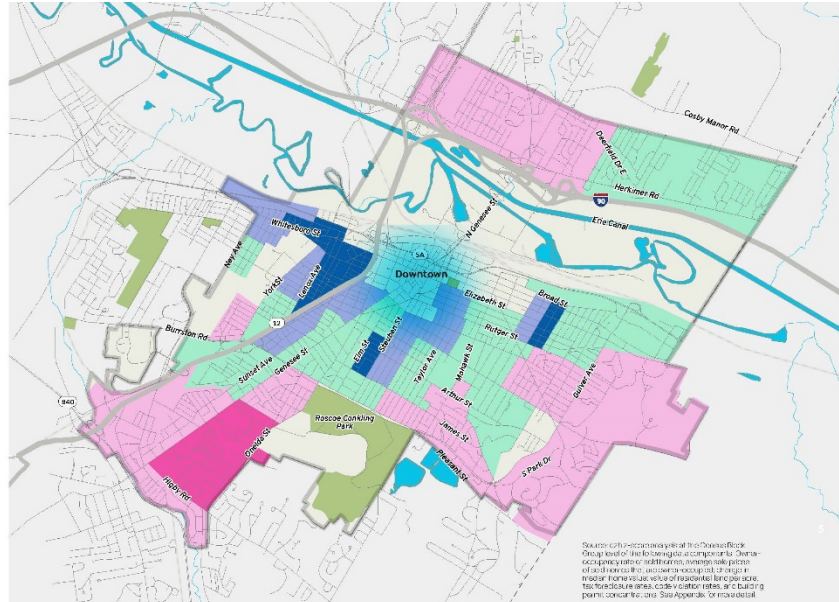
How are consumers of housing distributed across the existing supply of housing?

Demand and need are unevenly distributed between the city and the rest of the county, and the same is true within the city. These distributions influence (and are influenced by) the nature of the housing supply in localized sub-markets.

To better understand this distribution within the city and its neighborhoods, analysis was performed to categorize the city into market types that are defined by their relative levels of demand. The resulting Housing Market Demand Typology places Census Block Groups in Utica into five categories, with the one in the middle representing average levels of housing demand for Utica. Where demand is higher than average, levels of housing need tend to be lower. And where demand is lower than average, levels of need tend to be higher.

The geographic pattern revealed by this typology is not unlike patterns in most American cities of Utica's vintage. Sub-markets surrounding downtown have lower levels of demand and higher levels of need. On the city's edges, where housing is newer and housing conditions are generally better, demand is higher.

Block groups that were not categorized (such as those that include downtown) were excluded due to the small number of residential properties to analyze.



Source: City of Utica analysis of the 2010 Census Block Group level of the following variables: Owner-occupied units as a percentage of total units, average value of units, and the average number of units per household. The variables were selected based on their relevance to the study's goals and the availability of data.



What kind of housing is there in Utica's various sub-markets, and what does it cost?

Physical Characteristics

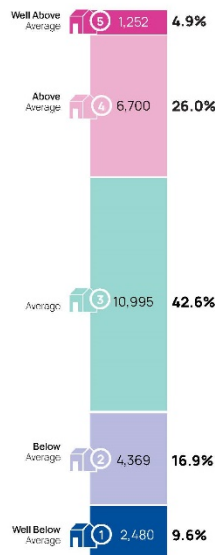
Utica's housing units are not evenly distributed across the five identified market types. Fully 43% of units are in areas that have average levels of demand for Utica. Meanwhile, 31% of units are in the two market types that fall above average and 27% are in the two that fall below average.

A look at the housing types within each market shows clear distinctions about the distribution of Utica's housing supply. Single-family homes that represent the core of Utica's homeownership opportunities comprise more than two-thirds of all housing units in the city's two strongest markets and less than a quarter of all units in the two markets with the softest levels of demand.

Units in the two softest markets tend to be in small multi-family structures with two to four units each. Units in average markets tend to be the most evenly distributed across various types, with 41% in single-family homes and 40% in small multi-family structures.

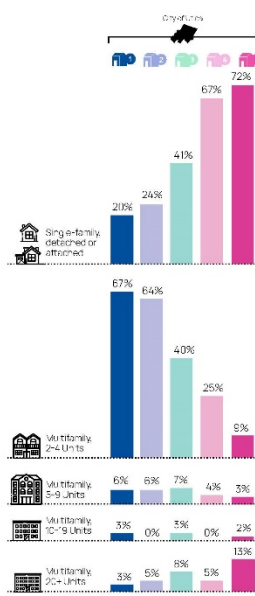
While most housing in all five sub-markets is located in structures built before 1950, the clearest concentrations of newer housing are found in Utica's average or stronger markets. A takeaway from this analysis is that the city's softest markets are dominated by small multi-family structures that are among the oldest in the city.

Housing Units by Number and Share



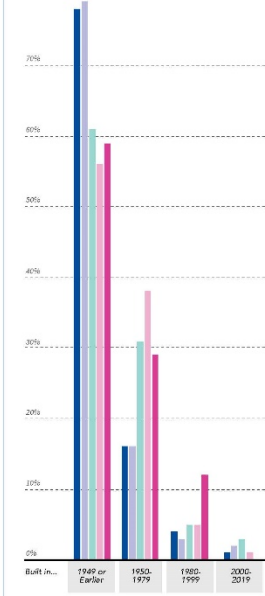
Source: 2010 American Community Survey (Table B25003). Percentages are based on the total number of units in the city of Utica.

Share of Housing Units by Structure Type



Source: 2010 American Community Survey (Table B25003).

Share of Housing Units by Year Built

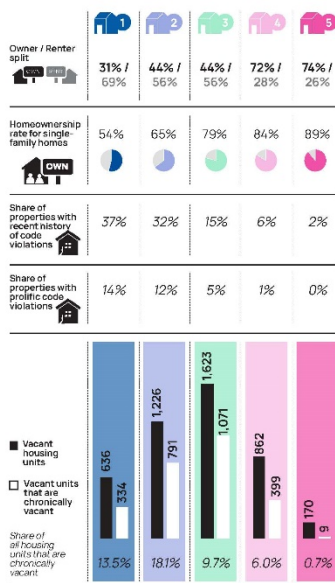


Source: 2010 American Community Survey (Table B25003).

Ownership, Occupancy, and Cost Characteristics

Housing tenure in Utica's sub-markets mirrors the housing types in each market. The owner/renter split leans towards renters in the softer markets and average markets while leaning towards owners in the stronger markets with more single-family housing. Importantly though, there is a significant variance in the share of single-family homeownership across the markets. Nearly 90% of all such properties are estimated to be owner-occupied in the city's strongest sub-market, but the same is true for only 54% of single-family homes in the softest sub-market, where single-family rentals are a tell-tale sign of weak demand. Absentee ownership in Utica's softer markets clearly correlates with higher incidences of code violations as well as higher rates of housing that is considered chronically vacant (neither occupied nor on the market). Due to a primary reliance on complaint-based code enforcement in Utica, incidences of code violations are very likely to underplay the true extent of deferred maintenance in the Utica market, especially in areas with high rates of absentee ownership.

Ownership & Occupancy Indicators



Source: 2019 American Community Survey (5-year estimates) and analysis of the data. 1: Softest sub-market; 2: Average sub-market; 3: Average sub-market; 4: Strongest sub-market; 5: Strongest sub-market. *Data for Oneida County is based on the 2019 American Community Survey (5-year estimates).

For the most part, housing prices, values, and rents are distributed across the five market types, with higher values and pricing in areas with greater levels of demand.

The greatest differences are apparent when it comes to the sale prices of single-family homes since 2018. In the strongest sub-market the average sale price of \$176,375 was 3.7 times greater than the average price in the softest sub-market. But it is also notable that price escalation was very similar in all markets, with prices increasing by 21% to 27% between the period of 2015-17 and 2018-22. Compared to home prices, rents were much more even across the sub-markets, with lower rents in the strongest sub-market being a reflection of rents in only one or two older rental complexes in that area. Notably, rents increased the most in the softest sub-market and may reflect competition among households in need for apartments of last resort.

Value and Cost Trends



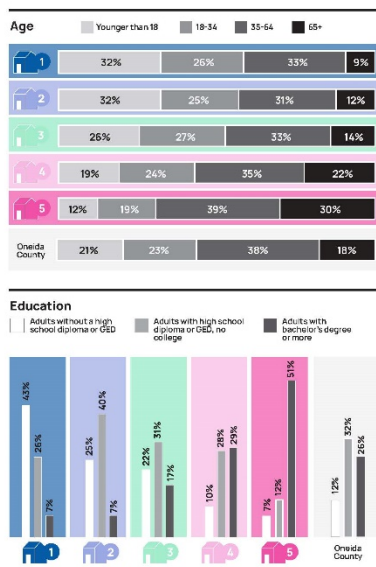
Source: 2019 American Community Survey (5-year estimates) for median value and rent; 2018 American Community Survey (5-year estimates) for average sale price.

What is the household profile of Utica's various sub-markets?

Demographics

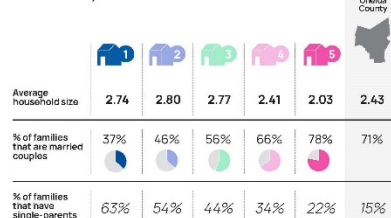
Analysis of who lives across Utica's housing sub-markets revealed that the city's softest markets are home to the highest shares of younger residents, with one-third of their residents being younger than 18. Nearly 60% of the population in the two softest sub-markets is younger than 35. The concentration of children in some of the city's oldest and least-maintained rental housing is a cause for concern on many fronts, including exposure to lead—an issue often raised by the Lead-Free Mohawk Valley Initiative.

In the city's strongest markets, households tend to be much older, with nearly a third of residents in the strongest sub-market being 65 and older. Because these markets have the highest concentrations of single-family homes, the age distribution suggests that many properties will be transitioning to new owners in the coming decade, which begs the question: who will be lining up to buy those homes? If the distribution of residents by education levels are any indication, they are likely to be college graduates with sufficient earning power to buy those homes.



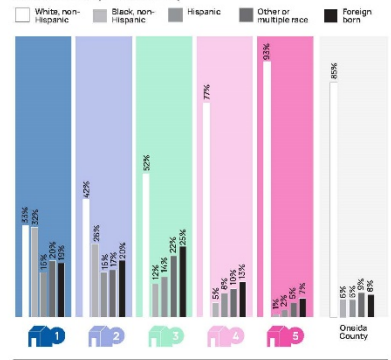
Source: 2019 American Community Survey (5-year estimates).

Household Dynamics



Source: 2019 American Community Survey (5-year estimates). Average household size reflects only the population that is not in institutionalized care.

Race, Ethnicity, and Nativity



Source: 2019 American Community Survey (5-year estimates).

Given the presence of children in Utica's average and softer sub-markets, it is not surprising that households tend to be larger there. These are also markets, especially the average sub-markets, where refugees and their families represent a significant share of households.

Examination of household structure, meanwhile, offers clues about capacity to pay for housing. The stronger the sub-market, the more likely a family is to be headed by a married couple and the potential for multiple incomes that that represents. The weaker the sub-market, the more likely a family is to be headed by a single-parent with more limited income streams to pay for housing and other essential household costs. While white, non-Hispanic residents represent at least a plurality of residents in all sub-markets, they represent a vast majority in the strongest markets—a reflection of a history of economic and demographic segregation within the city and region.

Income, Capacity to Pay for Housing, and Cost Burdens

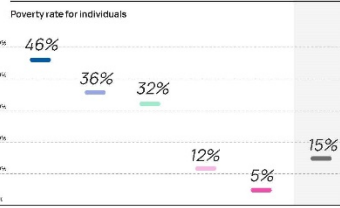
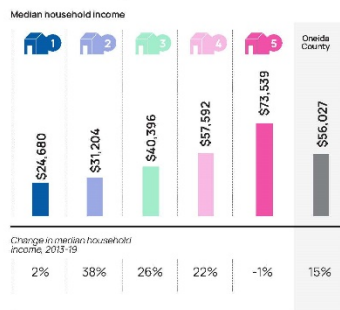
Incomes—how households pay for their housing—follow the pattern of housing costs. The lowest median incomes and highest poverty rates, which describe low ability to pay for housing, are found where costs are lowest, and vice versa.

The income distribution across Utica's sub-markets also mirrors the city-county relationship when it comes to need and demand. What is "average" in the city's context, (incomes in the average sub-market) is only 70% of the county's median income.

A notable income trend is that the highest rates of growth have been concentrated in Utica's three middle markets while incomes have stagnated at the top and bottom. Stagnation at the top may be a reflection of older, retiring households with declining wage income.

Stagnation at the bottom is likely a reflection of many households that are stuck on the lowest margins of Utica's economy, where poverty is highly concentrated and prospects for upward mobility are lowest. This observation is corroborated by the City's Opportunity Atlas, which predicts that children of low-income families in Utica's core can be expected to earn no more than \$25,000 as adults.

Income and Poverty



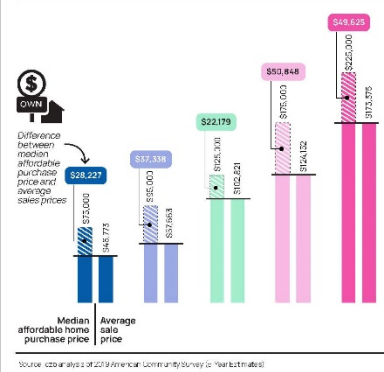
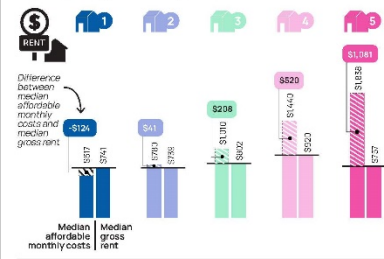
Source: 2019 American Community Survey (5-Year Estimates)

When it comes to housing costs in Utica, a critical finding of the Utica Housing Study is that housing costs are not high. Affordability challenges in Utica are a result of low incomes, not high housing costs.

This distinction is demonstrated by an examination, by sub-market type, of what the typical household can afford to pay for housing and what housing typically costs. In Utica's average sub-market, for example, the typical household can afford to spend \$1,010 per month on housing, which equates to 30% of the median household's monthly income. Median rents, by comparison, are less than that, which indicates that the typical household can afford the typical apartment in that sub-market.

The only sub-market where the typical household cannot afford the typical apartment is the very softest sub-market where household incomes are very low. On the ownership front, the typical household can technically afford the typical house (with affordability defined as 3-times the median household income) in all five sub-markets.

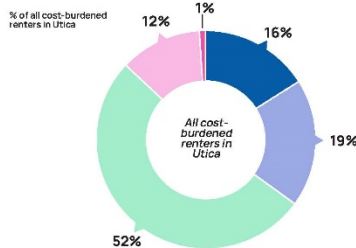
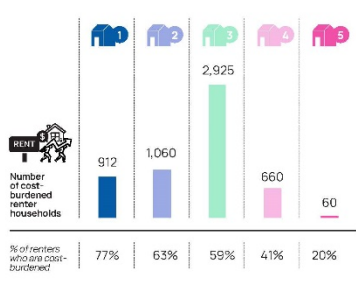
Capacity to Pay for Housing



Source: calculations of 2019 American Community Survey (5-Year Estimates)

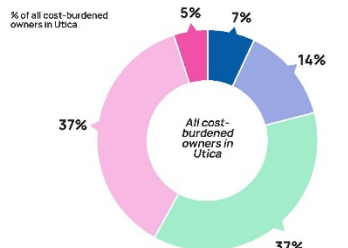
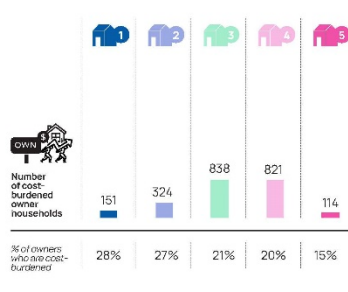
A breakdown of renters with cost burdens by sub-market type further demonstrates the dominant role that low incomes play when it comes to affordability. The share of renters who are cost-burdened (who pay more than 30% of their monthly incomes on rent) gets successively lower as one moves from lower demand areas to higher demand areas, with 77% of all renters in the softest market being cost-burdened compared to only 20% in the strongest market. Due to the volume of households in the average sub-markets, cost-burdened households in those areas represent the majority of all cost-burdened renters in the city.

Renters with Cost Burdens



Source: calculations of 2019 American Community Survey (5-Year Estimates)

Owners with Cost Burdens



Source: calculations of 2019 American Community Survey (5-Year Estimates)

Homeowners in Utica, as elsewhere, tend to have higher incomes than renters. That is one reason why much smaller shares of owners in Utica are cost-burdened. Another reason is that the act of purchasing a home, especially via a mortgage, tends to align a household with a home they can afford.

That said, there are over 2,000 cost-burdened owners in Utica, most of whom are in the city's average and above-average sub-markets. These may represent cases where homeowners are retirees who have restricted incomes and struggle to pay their mortgage or (if they own free and clear) their taxes and insurance. These could also be cases where individuals are not retired but have experienced economic setbacks after purchasing a home.

Regardless of circumstance, cost-burdened owners concentrated in those average or above-average sub-markets raise concerns about lapses in home maintenance that may threaten the quality of the housing inventory.

Renter Gaps

A renter gap analysis further demonstrates how low incomes play the dominant role in Utica's affordability challenges. This technique compares the total number of renter households in a given income range with the total number of rental units that fit within that group's affordable price range.

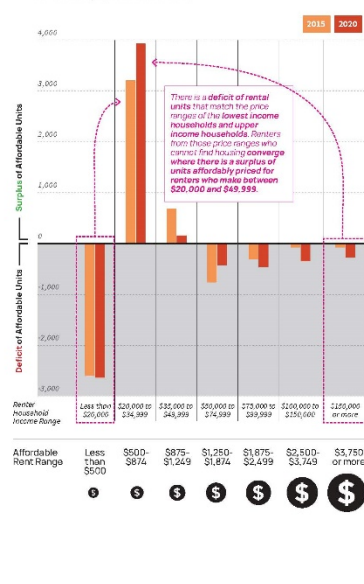
In 2020, for example, there was a "deficit" of 2,615 rental units for households with incomes below \$20,000. In other words there were more households who could only afford \$500 or less per month on rent than there were housing units renting for that price.

But a "surplus" of nearly 4,000 units for the next income range of \$20,000 to \$34,999 demonstrates that there were far more units priced for those households (\$500 to \$875) than there were households in that income range.

What does this tell us? It means that many renters earning less than \$20,000 have to look "up-market" to find their housing and in doing so, they generally rent a unit that costs more than 30% of their income.

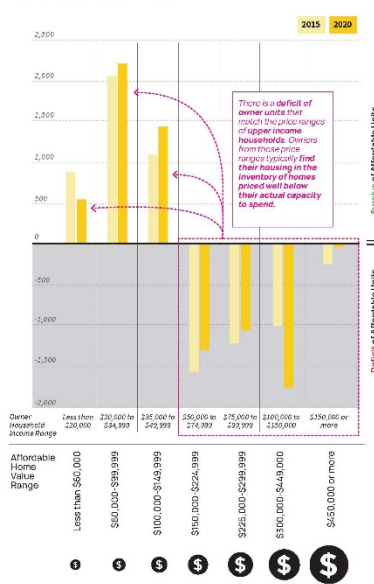
Conversely this gap analysis demonstrates that the opposite is happening for upper income renters. For them, there is a deficit of rental units in their price ranges (\$1,250 and upward), which forces many of them to look "down-market" for their rental opportunities. This can place pressure on lower income renters who end up competing for those same units.

Renter Gaps, 2015 and 2020



Source: 2020 American Community Survey (Baker Patterson)

Owner Gaps, 2015 and 2020



Source: 2020 American Community Survey (Baker Patterson)

Owner Gaps

A similar gap analysis for owner households in Utica reveals a slightly different pattern than the renter gap analysis. For owners, the only deficits exist in the upper income ranges, where there are far more households that can afford prices of \$150,000 and upward than there are houses valued in that range.

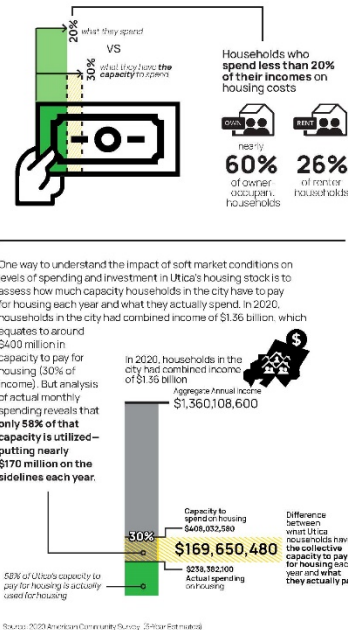
As with upper income renters, upper income owners in Utica who cannot find something in their price range or who are "unwilling" to buy a house in Utica for that much look "down-market" to find their housing.

The "surplus" of units priced under \$150,000 is due in part to the relatively small number of owners at the lowest income ranges (especially under \$20,000) and the fact that median home value for the entire city is only around \$100,000.

Utica's Willingness Gap

There are many households in Utica that have a very limited ability to pay for housing and are cost-burdened—especially the 5,800 that earn less than \$20,000. But there are also many households that spend well below their capacity to pay for housing because prices and rents are relatively low and they have a range of inexpensive options. For example, nearly 60% of owner-occupied households spend less than 20% of their incomes each month on housing costs, as do 26% of renter households.

These households represent just one aspect of a significant "willingness gap" in the Utica housing market. Many households that have financial means have grown accustomed to having relatively low housing costs. As a result they may be able but not "willing" to pay \$2,000 per month for a new housing product (as rent or a mortgage payment) when so much on the market costs far less. These households may also be able but not "willing" to invest heavily in home improvements—especially the types of improvements that may be needed to overcome decades of deferred maintenance and outdated conditions in the city's single-family housing stock. When home values are relatively low, owners lack confidence that they will get their money back on major home improvements and are unwilling to take the risk. This perpetuates outdated conditions.



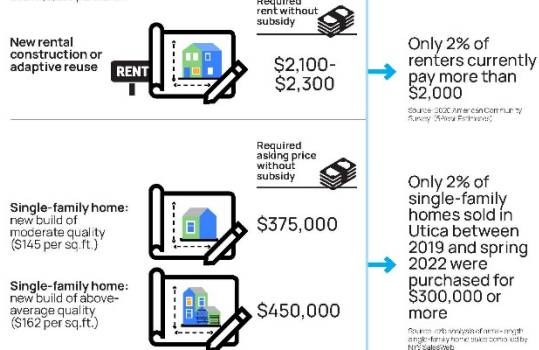
Source: 2020 American Community Survey (Baker Patterson)

The implications of low willingness on new housing investments

For households that represent demand in Utica and Oneida County, the habit of spending a relatively small share of their incomes on housing—combined with their fear of spending more on home improvements than they can hope to get back at resale—has an impact on reinvestment levels in existing housing. But it also has an impact on the financial feasibility of investments in new housing.

For example, current construction and development costs require estimated rents of between \$2,100 and \$2,300 for a project to break even with no subsidy, which very few renters in Utica currently pay or are willing to pay. For new single-family homes, the cost of any house of at least moderate quality will be well over \$300,000—a price level that only 2% of homes sold in the city since 2019 have achieved.

This means that new housing investments will almost always require some form of development subsidy to bring rents and prices in line with what buyers and renters are willing to pay in Utica. Indeed, this is how most of the new downtown units have been produced and rented at levels below \$2,000 per month.



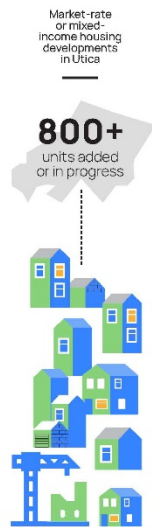
Source: 2020 American Community Survey (Baker Patterson)

Utica's Potential to Compete for Housing Demand in Oneida County

While soft market conditions in Utica have made it challenging to spur new housing investments, hundreds of new rental units have been added to the city's inventory in the past decade. In fact, just over 800 units in market-rate or mixed-income housing developments have either been added since 2011 or are in progress during 2022/2023. In nearly every case, new market-rate units have been assisted with some form of subsidy to bring rents closer to levels that the Utica market will bear.

These additional rental units have aided efforts to revitalize downtown Utica and adjacent areas while also creating new and appealing options to help the city compete for housing demand in Oneida County.

But how many new units does the city need? How many can it realistically absorb? And how does Wolfsped and other major investments in the region's economy change any of this?



If the region were growing in population and households, setting a goal to absorb a share of that growth would be part of a housing strategy for Utica or any other community in the region that aspired to accommodate growth. Given the absence of net population or household growth at the regional level, **there is no net growth for Utica to absorb. It must, instead, compete for households that already live somewhere else in the region or for incoming households** (such as a future Wolfsped engineer) that have had a historical tendency to locate outside of the city.

A focus on demand that is present or emerging within the region—and what the city can do to compete for that demand—would serve as a realistic basis for city housing strategies aimed at cultivating stronger demand. Potential targets include the following:

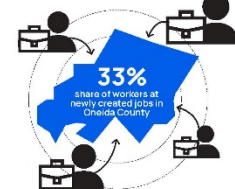
Broad Target for New Household Attraction



Analysis of housing demand that already exists in Oneida County showed that Utica currently has 3,369 fewer households earning \$50,000 or more than it would if those households were evenly distributed across the county based on the total number of households in each municipality. Rounded to 3,400, this number represents **households that are already in Oneida County and have chosen, for one reason or another, not to live in Utica.** Based on typical household mobility in the U.S., roughly 10% of these households (or 340) can be expected to move each year into housing that better suits their needs and life stage.

The right residential opportunities and supportive amenities in the city have the potential to treat these households as a broad target market for city living.

Narrowed Target Tied to New Employment Opportunities



Major generators of new employment, such as Wolfsped, represent opportunities to attract households to Utica—be they new arrivals to the region who are "up for grabs" or current residents of the region for whom a new job may be a prelude to seeking different housing.

Currently, the City of Utica is home to 33% of all jobs in Oneida County and 24% of all employed workers in the county. 63% of workers who live in the city are reverse commuters who actually work elsewhere in the region, which demonstrates that Utica houses a truly regional workforce.

The city's 33% share of all jobs in the county could serve as a residency target for new job holders—with the city competing for a 33% share of households attached to those jobs. For example, if Wolfsped creates at least 650 jobs that provide salaries in a range between \$50,000 and \$100,000, the city could aim to house 200 of those workers.

Source: Brookings Institute analysis of household income distributions within Oneida County from 2003 American Community Survey (ACS) estimates; narrowed target based on 33% analysis of 2022 jobs from the Long Business and Household Dynamics database from the U.S. Census Bureau.

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Summary of key takeaways from Part 1

Based on the analysis and findings presented in Part 1, three general takeaways have been identified that pinpoint specific opportunities and challenges for Utica's housing market. These takeaways also raise a series of important strategic questions that Part 2 and Part 3 will begin to address.

Questions raised by Part 1 takeaways

Despite Utica's growing population...



The city's struggle to compete for housing demand in Oneida County continues.

The loss of middle- and upper-income households to outlying communities in the second half of the 20th century contributed heavily to Utica's fiscal weakness and decades of underinvestment in public and private infrastructure.

While the city's share of these households in Oneida County has not dropped significantly since 2000 (a positive change), neither has it grown. Insufficient confidence in the long-term trajectory of the city—as compared to other parts of the region—contributes to the location decisions made by these households.

What can Utica do to bolster the confidence of households who have options and are currently living in the city?

What can Utica do to compete more readily for households that are interested in the city but have had a tendency to choose New Hartford, Marcy, and other neighboring communities?

Recent gains tied to new market-rate development have been possible because of subsidy—not because the market is willing to pay the full cost of new housing.

As in most of upstate New York's larger cities, Utica has experienced a welcome boost in market-rate housing development—almost all of it in rentals in and around downtown—over the past decade. And, as in Buffalo, Rochester, Syracuse, and other cities, it would be a mistake to interpret this as a sign that the market is now strong enough to support market-rate development without subsidy. If the market were genuinely strong, it would have no trouble producing and renting apartments at more than \$2,000 per month.

If Utica wants to see this type of development continue, it should be prepared to assist it for some time into the future.

To what extent is new market-rate development a priority that Utica is willing to help pay for?

If this type of development needs assistance, what is the smartest, most strategic use of public resources?

Utica's sub-markets have very different challenges and prospects to form responsive strategies around



The strongest markets are limited in scale

Utica's very strongest sub-market performs on par with, and in some cases better than, other top markets in Oneida County. But only 5% of the city's households are located there. And it, along with other above average markets in the city, are vulnerable to disinvestment in coming years.

Utica's softest markets are very soft

These soft markets have the lowest housing costs in the city and are well below typical housing costs in the region—a sign of low demand that is echoed by high levels of chronic vacancy and disrepair (see p. 18). But these markets also have the highest levels of cost-burden in the city owing to very low incomes.

Utica's average markets are critical sources of affordable housing and are vulnerable to disinvestment

Utica's "middle" has been bolstered by the influx of refugee households—this has eased vacancy rates and supported housing investments that likely would not have happened otherwise. But levels of deferred maintenance are still high and proximity to blight is a threat to long-term improvement.

What outcomes should Utica be seeking in its different submarkets?

What policies and tools would be most responsive to challenges and opportunities in each submarket—especially in the face of limited resources?

Like poverty, housing needs in Utica are highly concentrated and far outstrip current interventions or resources



Utica's high rate of cost-burdened households is not caused by high housing costs.

Indeed, housing costs in Utica remain well below state and national averages. And prevailing rents, though rising, remain below what is actually needed to resolve decades of deferred maintenance and support healthy levels of reinvestment.

The problem of unaffordable housing in Utica is a consequence of incomes that are too low and public resources that are insufficient to assist everyone that needs help paying for housing.

With 6,600 cost-burdened households earning less than \$35,000 in Utica, even with 3,368 subsidized affordable housing units in the city, the needs of thousands of vulnerable households are not met. And these households tend to live in conditions of concentrated poverty that hold back their potential for upward mobility.

How can Utica's investments in affordable housing and neighborhood improvement contribute to upward economic mobility for city residents?

How can Utica make the most of existing resources to meet current needs and reduce levels of need going forward?

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PART 2 Housing Policy and Investment Framework

Based on the findings from Part 1 about trends and issues that might be addressed through new housing policies and investments or changes to existing policies, how should the City of Utica and its many partners make good and responsive decisions with their limited resources?

A framework of principles designed to make the most of these resources is an important place to start and can help to ensure that decisions about where and how to allocate resources consistently reflect the problems Utica is trying to solve and the opportunities it wants to seize.



Principles for Making Good Decisions in Utica

A small set of principles will aid elected and appointed officials, City staff, and a range of other stakeholders in deciding how best to allocate resources and assess opportunities. These principles, described here in Part 2, are:



Achieve multiple aims



Have a targeted, coordinated, and sufficient impact



Be market-responsive

Needs and challenges in Utica's housing market far outweigh the resources available to address them all. This much is clear from analysis performed for the Utica Housing Study.

It is also clear that Utica has real strengths and momentum to leverage today—more than it did 10 or 20 years ago. A downtown that is increasingly vibrant and populated, parks that are receiving an infusion of new resources, new investments in health care, major strides in regional economic development, and growing recognition of the city's diversity and international perspective—all are assets that should have a positive and lasting impact on housing conditions and opportunities in Utica.

Making the most of these strengths and their potential impact on housing while working under Utica's financial and capacity constraints will require resourcefulness. That means doing as much as possible—and having the biggest possible impact—with each dollar and each ounce of civic energy.



Achieve multiple aims

To be truly resourceful, housing-related policies or investments should, whenever possible, result in gains that are felt beyond a narrow definition of housing—gains that contribute to economic development, healthier investment behaviors, and other community goals.

For example:



Does a housing investment activity contribute to...

- ✓ Strong place-making that makes Utica more attractive to new businesses and households?
- ✓ A well-housed labor force of working families?
- ✓ A housing stock that is more diverse and attractive to workers being recruited to area companies and institutions?
- ✓ Decisions by immigrants and their families to stay, open businesses, and put down deep roots in Utica?
- ✓ Lower levels of concentrated poverty and the increased potential for upward economic mobility that entails for Utica families?
- ✓ Improved confidence of homeowners and potential homeowners to invest in home improvements to boost the appeal of the city's housing stock?
- ✓ Neighborhood quality of life and the capacity of residents to advocate for their interests and solve problems?



If a new policy or investment can satisfy multiple goals, it is likely to represent a smart investment of the community's limited resources. And if an existing policy or program can be re-designed to satisfy more goals than it currently does, it should be.



Have a targeted, coordinated, and sufficient impact

Spreading limited resources as widely as possible—to benefit as many areas as possible—is a common practice that feels fair. But if an investment or activity is spread too thin, especially in a housing market that suffers from soft demand and underinvestment, it is unlikely to have the desired impact. And it will be nearly impossible for the investment or activity to successfully deliver on multiple aims.

To achieve the strongest possible return with the resources at hand, targeting interventions to specific areas for specific reasons is essential. Not only does it make success more likely, but the confidence and strength that results from success builds capacity to expand to other areas of work.

An example of targeted impact could include the following work being performed on a series of blocks simultaneously:



New tree planting and tree maintenance



Street repaving and lighting improvements



Organizing block parties and supporting neighbors with a small neighborhood beautification project



Partnerships with landlords to upgrade their properties while maintaining the affordability of their rental units



Support for groups of homeowners who commit to home improvement projects that enhance curb appeal



Support for capital improvements at small businesses that serve the neighborhood



Investments in a nearby park or public space

Coordinating multiple resources from a range of partners in the same targeted areas over a period of time can create momentum that has more impact and lasting power than one-off or disconnected projects.

Targeting resources, coordinating a series of partners, and using those resources to achieve multiple aims all improve the likelihood that interventions will be sufficient to accomplish desired outcomes. A test of sufficiency is always useful to determine whether the action is targeted or still too broad, and whether the tools being used are actually likely to produce results.

Testing sufficiency requires an understanding of who is being influenced by specific tools and policies and what drives their decisions to do something or not do something. More than anything else, this calls for crisp definitions of the problems that Utica aims to solve using particular investments or policies.

For example:



What problem does an incentive or subsidy seek to solve, and is it sufficient to stimulate the behavior or activity that we want to see more of?



What problem does a penalty or fine seek to solve, and is it sufficient to discourage the behavior or activity we want to see less of?



What problems will an investment in public infrastructure aim to solve, and will it be sufficient to solve that problem and have any desired multiplier effects?

Be market-responsive

In a city like Utica where market conditions vary dramatically on blocks that are only a mile from each other, defining the problems that need to be solved and the interventions that are likely to respond to those problems is critical.

Interventions that fail tend to lack focus and sufficiency—but they also tend to be poorly suited to market conditions. For example, intensive code enforcement is most effective not in weak markets with substantial blight but in markets where property owners have a stronger rationale to preserve their property's value.

Similarly, it is reasonable to expect street repaving and tree planting to bolster confidence and result in noticeable reinvestment by property owners in a stronger market. This is not a reasonable expectation in weaker markets, where coordination of a wider range of resources is generally needed to influence levels of private investment.

Based on the housing demand typology presented in Part 1, what are types of outcomes to seek in each sub-market, and what types of interventions are likely to be responsive?



MARKET TYPE

| | Well below average | Below average | Average | Above average | Well above average |
|---------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|--------------------|
| Goals | Position vacant properties and land as assets to leverage after markets have stabilized Diminish the supply of poor-quality, obsolete housing Connect residents and families with community programs and services Promote community building to grow a sense of agency and pride Stabilize property values Stabilize and begin to deconcentrate high levels of poverty | Stabilize single-family homeownership rate (75%) and leverage to boost reinvestment rates and community wealth building Maintain inclusive housing opportunities Help new homeowners and refugee families create value, build equity, and grow community Build, support, and grow neighborhood confidence, identity, and resilient leadership Prevent decline on vulnerable blocks threatened by blight Improve property values and tax base | Maintain and grow existing market strength Expand inclusive housing opportunities Compete for larger share of regional housing demand Boost confidence on blocks vulnerable to disinvestment Improve property values and tax base | | |
| Responsive interventions | Focus lead abatement efforts in these markets Demolish blighted structures near community assets Acquire and hold vacant land for future, neighborhood-serving redevelopment Support near- to mid-term reuse of vacant lots as gardens or small green spaces Use proactive code enforcement to ensure that existing housing stock meets baseline health and safety standards Identify and cultivate responsible landlords to help maintain or improve access to a safe and affordable housing supply Proactively market existing services and programs that connect low-income households with jobs, education, child care, financial counseling, health care, community centers, and other services or community programming in addition to housing services Support efforts to strengthen neighborhood identities, including community-building events and programming Support right-of-way investments and amenities on major corridors and residential streets to bolster confidence | Support mixed-income development and more diverse housing types Targeted acquisition-rehab-sale activity for homeownership and affordable rental housing First-time homebuyer grants and incentives Focused home improvement assistance to homeowners Encourage curb appeal improvements by groups of property owners Proactive code enforcement to support neighborhood standards and goals Targeted demolition of distressed properties at visible locations or near community assets Support efforts to strengthen neighborhood identities, including community-building events and programming Support right-of-way investments and amenities on major corridors and residential streets to bolster confidence | Support mixed-income development and more diverse housing types Targeted acquisition-rehab-sale activity for moderate-income first-time homebuyers Invest in amenities Support efforts to strengthen neighborhood identities, including community-building events and programming Target code enforcement to ensure random distressed properties do not drag values down Support right-of-way investments and amenities on major corridors and residential streets to bolster confidence | | |

Potential Target Markets



A broad target for attracting new households to the city's housing market is identified in Part 1, as is a narrower target that applies to new employment opportunities. These are presented to provide the City of Utica with context to inform efforts to compete for regional housing demand—including the number of households that might be considered "targetable."

Given the imperative for Utica to focus its efforts and achieve multiple aims with its limited resources, Utica will have to be more strategic about which households are utmost priorities to target. Four specific target markets to potentially serve are identified here. Two of the target markets represent clear cases of housing demand (incomes above \$50,000) and two cases fall within the gray zone between demand and need (incomes between \$35,000 and \$50,000). These specific markets are provided, in part, to illustrate the need to articulate problems that need to be solved to effectively compete for these markets.

| | Single earner with kids who earns \$35,000 and seeks a decent apartment | Working household that earns \$40,000 to \$50,000 and seeks to buy a first home | Young professional who earns \$55,000 and seeks a market-rate apartment | Young family that earns \$125,000 and seeks a new house |
|-------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Why a potential target? | Supporting the stability and upward mobility of this household is critical to the prospects of the neighborhood itself and to the health of many city neighborhood roots with diverse markets. These households are also an important part of the region's workforce. Ensuring the presence of good rental opportunities for this household serves the city's social and economic interests. As rental opportunities in Utica's suburbs age, and as small single-family homes in the county shift increasingly into the family rental market, more and more of these households are likely to seek opportunities beyond the city when available. | Utica's strongest markets are dominated by single-family houses. These markets also have the oldest resident age profile in the city. This means that a generational transition will be happening in these markets. Homes well up on the market and good buyers will be needed. This particular target market will find many opportunities in their price range in the city. | For years, a household such as this would have been forced to choose between newer suburban apartments outside of the city or generally outdated rentals in city neighborhoods. The emergence of new downtown options has widened their range and continuing to provide such options has the potential to hang on to these individuals as they form families and seek ownership opportunities. | Young families seeking a new house have been almost exclusively served by housing markets outside of Utica for decades. Giving them an opportunity to choose the city—and grow in the city—would be positive for the tax base, schools, and the health of the housing market. |
| Maximum affordable monthly housing payment and/or purchase price | \$875 / month | \$120,000 to \$150,000 | \$1,375 / month | \$375,000 |
| The problems to solve to effectively target this market | "The private rental market in the city currently serves this household—and does so increasingly poorly. Finding an apartment for a family that costs less than \$900 AND is in good shape is getting more and more difficult. Bridging the gap between what it costs to provide a well-maintained family rental unit, and what this household can actually pay, is the problem to solve. That applies to a rehabbed unit in a small multi-family structure or a new unit in a mixed-income development. | Will these households be willing to pay upwards of \$150,000 for an older house in the city? Will they have confidence in the neighborhood? Or will they feel more confident about buying outside of the city—where aging homeowners will also be putting properties on the market. The condition of an older city property with deferred maintenance is one of many potential factors shaping the willingness of a buyer. Without some assistance, the costs to both purchase AND fix up property may be prohibitive—and hindered poorly for the willingness of the potential buyer and the viability of many city houses. | Without subsidy, a high-quality rental product for this household—in a new building or a substantially rehabbed existing building—would have to rent for more than \$1,000, which is more than this household can afford. Therefore, continued subsidization of market-rate rental developments (via historic preservation tax credits, property tax abatements, PILOTs, and other tools) will be needed to provide additional rental products. | A modest new house will cost upwards of \$300,000 to build, and something of better quality that meets standards in the city's housing market will cost closer to \$375,000 or more. Even if this household can afford \$375,000, they might not be willing to pay that much when the city. To provide a product for this target market, the gap between what the household is able and willing to pay, and what the product actually costs, will have to be filled in the form of a subsidy. |

PART 3 Strategic Opportunities

What might it look like, in practice, to apply the decision-making framework outlined in Part 2?

Four strategic opportunities have been identified that reflect the framework and would involve interventions that serve a variety of objectives while serving a variety of target markets. These serve as a starting point for the City of Utica and its partners to consider as they develop a comprehensive housing strategy for the community.



Responding to Need and Demand in Utica



The following opportunities are designed to demonstrate the types of strategies or projects that can serve multiple aims on both the need and demand sides of Utica's housing ledger.

Examples of opportunities that align with the Housing Policy and Investment Framework:

Sustain downtown housing investments and make them more focused



Revitalize asset-rich areas near downtown



Revitalize neighborhoods with mixed market conditions and key assets



Seize opportunity for new single-family development

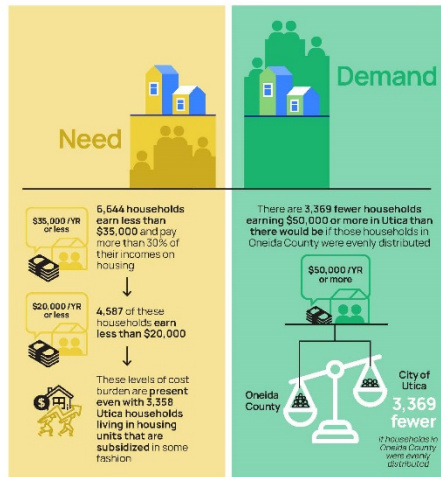


Responding to Need and Demand in Utica

How can Utica meaningfully respond to its **housing need** and **housing demand** challenges?

What does it mean to apply the **Housing Policy and Investment Framework** to emerging opportunities in ways that move Utica in a positive direction?

Part 1 defines housing need and demand and outlines two conditions that are central to understanding Utica's housing market: need is high and demand is low. It also quantifies the overall magnitude of these challenges.

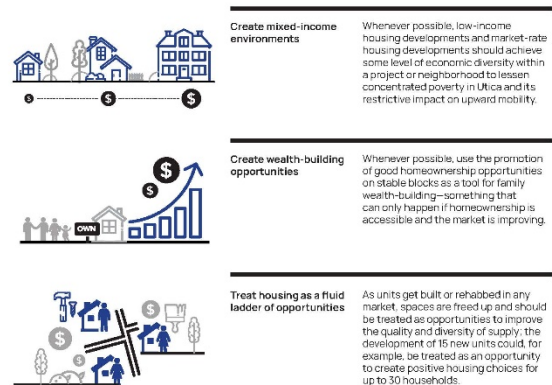


Addressing either challenge in a community of Utica's size and resources is daunting and potentially paralyzing—especially when it comes to meeting overwhelming needs. Flailing on the magnitude of the challenge is a recipe for inaction, or for interventions that are more focused on outputs (units built, households served) than on broader strategic outcomes for the community.

The key to meaningful responses in the face of these challenges is to maximize the potential of every decision and every project to move the needle in the right direction—to see levels of need and cost burden decline, and to capture a fairer share of regional demand. Along those lines, the first principle outlined in Part 2 may be the most essential—ensuring that every effort achieve multiple aims to give it the strongest potential to move the needle.



This is especially critical when it comes to addressing housing needs. In addition to providing adequate and affordable living spaces, efforts should strive to:



The four strategic opportunities presented in Part 3 are designed to demonstrate the types of strategies or projects that can serve multiple aims on both the need and demand sides of Utica's housing ledger.

Sustain downtown housing investments and make them more focused



The Opportunity

Investments in downtown housing over the past decade—which have included the bulk of the 800 market-rate and mixed-income units added to the city's inventory—have had a number of positive impacts on the city's housing market and other sectors:

- They have helped to create a market—for high-quality downtown living spaces—that was mostly abstract in Utica before 2010. Much like a \$4 cup of coffee, it was hard to imagine that there was demand for a great apartment renting for \$1,600 in downtown Utica until somebody produced it and consumers were there to consume it.
- In creating a market for high-quality apartments, these investments have likely reduced the willingness gap in Utica—what people with options are willing to pay for housing—from where it was a decade ago.
- Residents of those apartments have helped to add vitality to downtown streets and have made supportive amenities—such as coffee shops and restaurants—more viable.
- They have diversified the city's housing market in ways that are beneficial to both the city and the region—including the region's economic development potential. They make it easier, for example, to attract an engineer to WolfSpeed who wants to rent in an urban setting.

Opportunities to expand this housing supply and make the city more competitive for regional housing demand remain. But building on this momentum—and keeping it from stalling—is likely to require that two limiting factors need be acknowledged and addressed:

1. The continuing need for subsidies to make market-rate and mixed-income projects viable, because even though the market has demonstrated demand in the \$1,500 to \$1,600 range, it has not demonstrated durable demand above \$2,000, and
2. the need to focus new residential investment more tightly so that the emergence of a critical mass of downtown activity can be accelerated.

Potential Strategy

Downtown Utica covers a large area—just over 200 acres if one includes Bagley's Square, The Wynn Hospital, the Genesee Street corridor down to the Public Library, and parcels abutting Park Avenue. It gets bigger if the brewery and Varick Street are added to the mix. This represents a quantity of space that would be difficult to fully activate even if the region were growing and the housing market was much stronger.

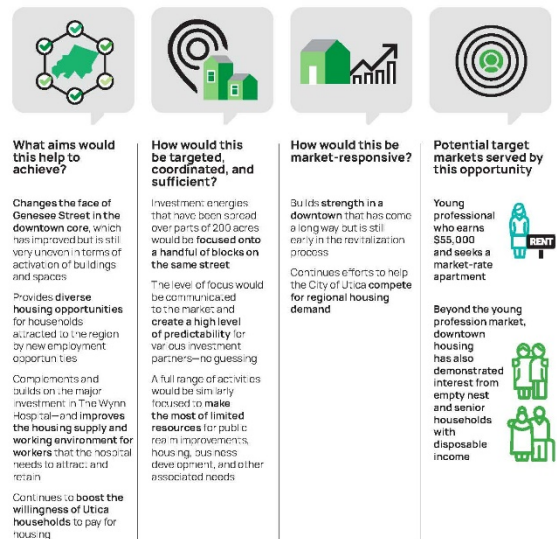
Although hundreds of new housing units have had a positive and meaningful impact, they have been distributed in a manner that dilutes the overall impact. Empty spaces and underutilized buildings abound in between areas of investment. The result is that downtown Utica still lacks the critical mass necessary to create a truly vibrant, downtown neighborhood.



Creating a critical mass will require that choices be made about where future housing subsidies are directed and where major new infrastructure investments are made. The two will have to be closely coordinated to ensure that a high quality of place is cultivated—that a few exceptional blocks are established to stimulate further demand and further investment. As those blocks emerge—with no empty buildings or storefronts, no underutilized upper floors, no vacant lots, and a superb public right-of-way—attention can be incrementally refocused and strong connections can be made with other hubs of residential activity.

Given its proximity to The Wynn Hospital, its position at the center of downtown, and the collection of projects and investments that have already happened there, the stretch of Genesee Street from the Stanley Theater to Broad Street—noted in the map above as the **Downtown Core Cluster**—is a sensible focal point.

Distribution of Downtown and Near-Downtown Housing Units Since 2011



Revitalize asset-rich areas near downtown



The Opportunity

Most of Utica's update counterparts have had downtown revitalization efforts reinforced by the presence of at least one strong adjacent neighborhood. That is not the case for downtown Utica, which is surrounded by the city's softest sub-markets. This is one of the reasons why more targeted investments in downtown Utica have been identified as a strategic opportunity—even a strategic necessity.

There are areas near downtown, however, that are asset-rich, have physical attributes that are unique in the region's housing market, and that have the potential to serve as strong transitional areas between downtown Utica and neighborhoods to the south and east.

Potential Strategy

Two areas near downtown have a particular collection of assets that make them important to strengthen from a cultural and historical standpoint, as well as from the standpoint of improving the breadth and quality of Utica's housing supply:

State/Cottage

The intersection of State Street and Cottage Place is at the heart of an area with such cultural anchors as the Munson-Williams-Proctor Art Institute, PrattMWP College of Art and Design, Players Theatre, St. Volodymyr Church, Holy Trinity Church, and many other architecturally significant structures. Levels of maintenance in the neighborhood's housing stock is highly uneven, however. What could be a great arts-centered neighborhood with diverse and high-quality housing feels very worn.

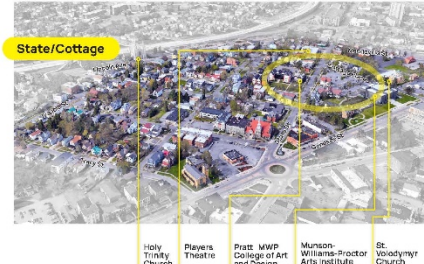


Rutger Street

On the other side of Genesee Street from the State/Cottage area, Rutger Street begins at Steuben Park and continues until around Conkling Avenue—some of Utica's best residential architecture from the 1860s through 1890s. Very few of these properties, or related properties on side streets such as Brinkerhoff and Dudley, are in good condition. Many transitioned long ago from single-family homes into boarding houses or apartment buildings that have received only basic levels of maintenance—if that—for decades.

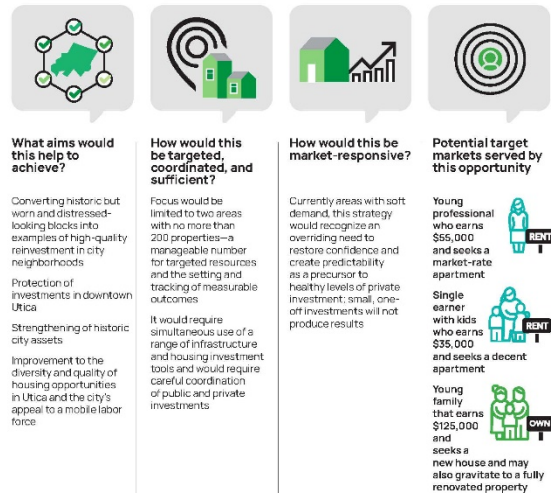


Focused revitalization work in these areas that both preserves and improves some of the existing sources of affordable housing while stimulating private investment in single-family homes and market-rate rentals has the potential to strengthen important city assets, make the city's housing stock more competitive for regional housing demand, and reinforce focused investments in downtown Utica.



Revitalization Tools

For a long time, federal and state resources tied to affordable housing have been viewed, interchangeably, as neighborhood revitalization tools. They are not. Affordable housing opportunities have a role to play in neighborhood revitalization, but true revitalization is about attracting and leveraging private investment and creating a space of economic diversity. Deferred maintenance in the State/Cottage and Rutger Street areas is too great to be overcome by public resources alone. Public resources need to generate private sector confidence and a willingness to invest in these areas.



Revitalize neighborhoods with mixed market conditions and key assets



The Opportunity

Utica's average sub-markets are present, to some extent, in every section of the city. They are home to a critical supply of affordable rentals and affordable homeownership opportunities on relatively stable blocks. But these housing opportunities tend to suffer from substantial levels of deferred maintenance—part of what makes them less expensive—and are vulnerable to stagnation and decline in the coming decade if physical conditions deteriorate and blight spreads from weaker blocks nearby. Maintaining these areas as critical sources of affordable housing opportunities while also improving living conditions and extending the longevity of the housing stock is an important opportunity to seize. It is an opportunity that is aided by the fact that these average markets have stronger markets in close proximity as well as important city assets, including parks and schools, to leverage.

Potential Strategy

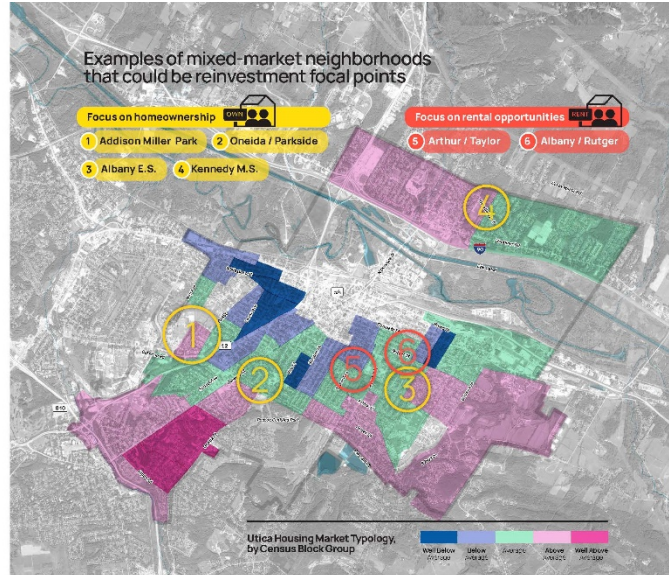
Reinvestment efforts in these average sub-markets should aim to dramatically improve the physical quality of residential properties by assisting homeowners, good landlords, and housing rehabbers with substantial investments in the housing stock—addressing mechanical upgrades that extend the life of housing units as well as improvements that will make the housing more appealing. The improved housing should help residents feel proud about their neighborhoods and confident about the future of their block.

For current or prospective homeowners, assistance with home upgrades would have the following benefits:

- Improve the market value of the home and the contribution of the home to household wealth-creation
- Reduce the burden that home improvements represent to first-time buyers who purchase a house that comes with substantial deferred maintenance
- Provide opportunities for upwardly mobile renters—including refugee families—to stay and put down roots in their neighborhoods

For landlords and their renters, assistance with rental unit rehabs would have a similar series of benefits:

- Upgrade units that merely provide shelter into safe and desirable apartments with more dignity for residents
- Allow landlords to catch up on maintenance backlogs and position them to better maintain their properties
- Preserve unit affordability as a condition of rehab assistance



Following the principles described in Part 2, any reinvestment intervention must be focused in order for improvement to a single property to become part of a noticeable neighborhood-level improvement. And an area of focus should serve multiple aims—such as the strengthening of city assets and boosting confidence in neighborhoods vulnerable to decline.

Examples of targeted areas that would serve multiple aims include the ones mapped above. All are in areas with mixed-markets, where market conditions transition from

stronger to weaker in just a few blocks—and where focused interventions could serve to stabilize and strengthen key blocks. These are also areas where schools, parks, or recent investment represent assets to build from.

In two of the example focus areas, rental properties predominate and would need to be the center of reinvestment efforts. In the other four, single-family homes dominate and would be the primary focus of interventions.

Examples of interventions focused on homeownership

Financial aid to first-time buyers
Soft-second mortgages to assist with down payment and closing costs; estimated average cost per intervention is \$15,000.

Acquire, fix up, and sell single-family homes to owner-occupants
Equity partnership with private home rehabbers to pay for above-market upgrades and ensure quality of finished product; estimated average cost per intervention is \$35,000 and potentially recoverable at sale.

Partnerships with existing owner-occupants to support major reinvestments
Equity partnership with homeowners to scope and pay for substantial home improvements and modernization; estimated average cost per intervention is \$35,000 and could be treated as a loan that converts to a grant if the homeowner stays in the home for a specified period.

Examples of interventions focused on rental improvements

Partnerships with existing or new landlords to support major reinvestments
Conditional loans to landlords to match their investments in unit rehabs, with loans converting to grants if all or a share of units in the structure are reserved as affordable units for a set period of time; estimated average cost per unit is \$20,000.

Strategic use of affordable housing resources to maintain and expand affordable inventory
Use of available federal and state resources by not-for-profits to reinvest in and preserve existing affordable housing units and to expand their inventory in ways that do not produce high concentrations of poverty.

Other key interventions

Investments in public assets
Capital upgrades to the parks, schools, or other key assets that exist within or next to the focus areas.

Investments in infrastructure
Focused improvements to streets, sidewalks, lighting, and trees.

Investments in neighborhood capacity
Support for block clubs and neighborhood leadership development to enhance the neighborhood's ability to advocate for itself and promote neighborliness.

If two or three focus areas were chosen, a pool of revolving capital from public and philanthropic sources could be used to initiate a modest series of interventions that would have a visible impact and create neighborhood momentum.

Just over \$3 million, for example, could make the following possible:

| | |
|----------------------------------------------------|----------------|
| 25 soft-second mortgages to support home purchases | \$375,000 |
| 50 single-family home partnerships | \$1.75 million |
| 50 rental units rehabbed by private landlords | \$1.0 million |

Note: This example of the range of outcomes that could be supported by \$3 million assumes that the funding sources are flexible enough to use the City's general fund and financial resources for the right investments and that the investments are made in a timely manner. The following are estimates of the potential impact of the interventions and are not intended to be a guarantee of outcomes. The City of Utica is not responsible for the accuracy of the data or the results of the interventions. The City of Utica is not responsible for the accuracy of the data or the results of the interventions.

Seize opportunity for new single-family development



The Opportunity

There is always a market, however small, for new single-family homes in the region. But the demand for this product has been met almost exclusively by communities outside of Utica for half a century. New home development would help the city compete for existing housing demand in the region while strengthening existing neighborhoods.

One location, in particular, has the potential to serve this demand while achieving multiple other aims: the St. Elizabeth Campus of the Mohawk Valley Health System, which will be phased out of use as functions shift downtown to The Wynn Hospital. Located in the middle of Utica's healthiest sub-market, and along the Genesee Street corridor, a plan for the future of the campus is needed to prevent uncertainty from undermining confidence in the neighborhood.

Potential Strategy

While redevelopment of the campus as a major new source of rental housing is one possible reuse of the campus, it would come with a number of drawbacks:

If 80% of the hospital, nursing school, and convent were to be rehabilitated at an average development cost per square foot of \$200 into 250 spacious apartments, the resulting \$80 million project would mean that the average development cost per unit would be nearly \$350,000. This would produce break-even monthly rents of almost \$4,000. If developed into 400 small units, the break-even rents would still be around \$2,000. Either way, significant subsidies would be needed to bring those rents down—with the deepest discounts requiring the deepest subsidies.

If substantial conversion to rental housing was pursued, another drawback would be the potential cannibalization of rental demand that could otherwise be channeled into the downtown market. The same problem would exist if parts of the hospital were converted into business uses.

Alternatively, redevelopment of the site as a combination of new single-family housing and a limited number of new rental units could:

- Add to the neighborhood's strong existing stock of single-family homes
- Complement the existing pattern of curvilinear residential streets
- Provide diverse housing opportunities
- Add new housing units at a pace less likely to disrupt housing investments elsewhere



Demolition of most of the hospital's existing buildings would free up land to develop a mixture of housing types that would complement the form and scale of the neighborhood.

Multi-family and neighborhood commercial component



24 rental units in new construction along Genesee Street or through redevelopment of convent



Approximate rents of \$1,500, with potential for steeper subsidies to provide access to a wider range of incomes



Neighborhood-scale commercial uses fronting Genesee Street, potentially as mixed-used structures with rental housing

Single-family component



40 single-family homes of approximately 1,800 square feet developed in the site's interior along newly installed streets



Price points in the mid-\$300,000s—low enough to ensure absorption and with a high enough level of finish to appeal to households that Utica would like to retain or attract as new buyers

Public and Private Costs

As with any alternative redevelopment concept for the St. Elizabeth Campus, one that mixes single-family development with new multi-family development to help Utica compete for regional housing demand will not be possible without subsidy. Costs and risks are involved that outweigh the ability of the region's housing market to make a project like this happen without assistance. What sort of costs are involved, and how might a combination of public and private resources make this work?

It is estimated that a partnership involving the public sector and MHS would have to cover just under half of the total development costs to lay the groundwork for private development, a share that would cover demolition and site preparation. Private mortgage markets would cover the development costs for the single-family homes. The multi-family component would be covered by a combination of investor capital, traditional debt, and public subsidy to discount the required rents.

After development is complete, the redeveloped site could contribute between \$300,000 and \$400,000 per year in property taxes to the City of Utica (based on current rates). A redeveloped site could also be expected to improve property values on surrounding streets—the reverse of what could happen if the site sits empty and becomes a chronic source of uncertainty for current and future residents.

| Project Costs | |
|---------------------|----------------------------------|
| \$5 million | Demolition |
| \$4 million | Site preparation |
| \$15 - \$17 million | Residential property development |

TOTAL Project Cost
\$25 to \$27 million

| PRIVATE SHARE | PUBLIC/HOSPITAL PARTNERSHIP'S SHARE |
|----------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|
| Approximately \$13 - \$15 million | Approximately \$12 million |
| COSTS Residential property development | COSTS Demolition Other site preparation Subsidy for multi-family development to achieve desired rent levels |
| SOURCES Investor capital and private mortgages | SOURCES Bond revenue to be covered, in part, by future taxes City's capital investment plan for infrastructure development |

New single-family housing development in other parts of Utica would require a similar type of public involvement to attract private development, with the details and level of subsidy dictated by a location's site preparation and infrastructure needs.



What aims would this help to achieve?

Maintain and bolster confidence in the city's strongest housing market—keep it from slipping

Allow Utica to diversify its housing offerings to compete for regional housing demand

Strengthen the attractiveness of the Genesee Street corridor

Improve the City of Utica's fiscal capacity by putting a large site back on the tax rolls

Find a successful resolution to the uncertainties posed by the hospital transition

Improve MHS's ability to attract and keep talent through appealing new housing



How would this be targeted, coordinated, and sufficient?

Single-family development energies would be highly focused in one location rather than scattered

A major public commitment would be needed at the outset for the site to be sufficiently ready for private sector development: the public investment would be catalytic

Redevelopment of the site, the new infrastructure, wider improvements along the Genesee Street corridor, and investments in nearby Roscoe Conkling Park would all have to come together to make the most out of this opportunity



How would this be market-responsive?

Limited number of units produced to ensure healthy pace of absorption

Leverages existing strength of the neighborhood to produce a substantial level of private investment

Combines multi-family and single-family production to increase diversity of housing opportunities



Potential target markets served by this opportunity

Young family that earns \$125,000 and seeks a new house

Young professional who earns \$55,000 and seeks a market-rate apartment

Single earner with kids who earns \$35,000 and seeks a decent apartment (if a share of the multi-family units are deeply subsidized)

DRAFT

Appendix

The housing market demand typology presented on pages 14–15 of Part I is based on the two components outlined below, each of which is comprised of multiple indicators of housing market demand.

Component #1: Market Strength

- o **Owner-occupancy rate of sold homes:** Share of single-family and two-family homes sold since 2013 that are owner-occupied (analysis based on sales data from NYS SalesWeb and ownership data from the 2021 assessment rolls)
- o **Average sale prices of sold homes that are owner-occupied:** Average sale price of single-family and two-family homes sold since 2013 that are owner-occupied (analysis based on sales data from NYS SalesWeb and ownership data from the 2021 assessment rolls)
- o **Change in median home values:** Change in median value of owner-occupied homes, 2015–2019 (analysis based on American Community Survey 5-year Estimates)
- o **Value per acre:** Assessed value per acre of single-family and two-family homes, including land plus improvements (analysis based on 2021 assessment rolls)

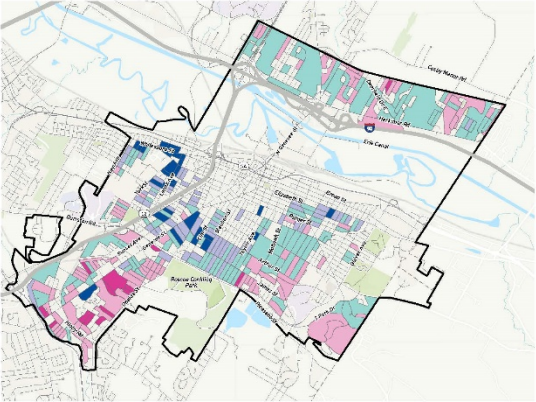
Component #2: Property Investment/Disinvestment

- o **Tax foreclosure:** Share of all residential properties in the block group foreclosed by the city since 2013 (analysis based on City of Utica tax foreclosure records)
- o **Code violators:** Share of all residential properties in the block group that received at least 10 code violations over the past decade (analysis based on City of Utica code enforcement records)
- o **Building permits:** Share of all residential properties that were issued permits, of any value, for repair, alteration, addition, and/or garages since 2013 (analysis based on City of Utica building permit records)

For each Census Block Group in Utica, Z-scores were calculated for the indicators within each component to furnish an average Z-score for that component. The two component Z-scores for each Census Block Group were then combined to provide a consolidated Z-score for the Block Group.

Categorizations of the consolidated Z-scores were made as follows:

| | |
|-----------------|--------------------|
| 0.75 and higher | Well Above Average |
| 0.25 to 0.74 | Above Average |
| -0.24 to 0.24 | Average |
| -0.24 to -0.74 | Below Average |
| -0.75 and lower | Well Below Average |



This alternative typology includes six of the seven indicators used in the original typology featured in Part I. It was developed to provide a more granular view of the housing market demand at the block level, which required the exclusion of change in median home value (an indicator that is only available for geographies as small as Census Block Groups). To ensure that sufficient data were available for analysis, only blocks with at least 20 residential properties were included. All gray areas on the map are blocks with fewer than 20 residential properties.

Utica Housing Study



Prepared by
czb LLC

Appendix I: Oneida County Continuum of Care **Coordinated Entry Policy**

Mohawk Valley Housing and Homeless Coalition
Utica/Rome/Oneida and Madison Counties HUD Continuum of Care (NY-518)
Collaborative Applicant: United Way of the Valley and Greater Utica, 258 Genesee St
Utica, NY 13502 - www.mvhomeless.org

HUD Continuum of Care (CoC) NY-518

Covering Utica and Rome and Oneida and Madison Counties, NY

Homeless Assistance

Coordinated Entry and Assessment Policy and Procedures

Version 10.0

3/16/2021

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Introduction and Overview of HUD Coordinated Entry System Requirements

Provisions in the CoC Program interim rule at 24 CFR 578.7(a)(8) require that CoCs establish a Centralized or Coordinated Entry and Assessment System for homeless persons and families in their CoC. HUD's primary goals for coordinated entry processes are that assistance be allocated as effectively as possible and that it be easily accessible no matter where or how homeless persons present with a housing need.

Most communities lack the resources needed to meet all of the needs of people experiencing homelessness. This combined with the lack of well-developed coordinated entry processes can result in severe hardships for people experiencing homelessness. In some communities, they often face long waiting times to receive assistance or are screened out of needed assistance.

Coordinated entry processes help communities prioritize assistance based on vulnerability and severity of service needs to ensure that people who need assistance the most can receive it in a timely manner. Coordinated entry processes also provide information about service needs and gaps to help communities plan their assistance and identify needed resources.

GOAL: Develop and implement a Coordinated Entry and Assessment (CEA) System for homeless persons and families to access shelter and supportive housing in Oneida and Madison Counties. This System will have the following components or features:

Standardized Access and Assessment. All coordinated entry locations and methods (phone, in-person, online, etc.) offer the same assessment approach and referrals using uniform decision making processes. A person presenting at a particular coordinated entry location is not steered towards any particular program or provider simply because they presented at that location.

Referral to projects. The coordinated entry process makes referrals to all projects receiving Emergency Solutions Grants (ESG) and CoC Program funds, including emergency shelter, RRH, PSH, and transitional housing (TH), as well as other housing and homelessness projects. Projects in the community that are dedicated to serving people experiencing homelessness fill all vacancies through referrals, while other housing and services projects determine the extent to which they rely on referrals from the coordinated entry process.

Referral protocols. Programs that participate in the CoC's coordinated entry process accept all eligible referrals unless the CoC has a documented protocol for rejecting referrals that ensures that such rejections are justified and rare and that participants are able to identify and access another suitable project.

Ongoing planning and stakeholder consultation. The CoC engages in ongoing planning with all stakeholders participating in the coordinated entry process. This planning includes evaluating and updating the coordinated entry process at least annually. Feedback from individuals and families experiencing homelessness or recently connected to housing through the coordinated entry process is regularly gathered through surveys, focus groups, and other means and is used to improve the process.

Prioritizing people who are most vulnerable or have the most severe service needs

SOURCE: HUD Coordinated Entry and Assessment Policy Brief

One of the main purposes of coordinated entry is to ensure that people with the most severe service needs and levels of vulnerability are prioritized for housing and homeless assistance. HUD's policy is that people experiencing chronic homelessness should be prioritized for permanent supportive housing.

In some cases PSH projects are required to serve people experiencing chronic homelessness and in other cases, HUD provides incentives for projects to do so. HUD is strongly encouraging communities to fully implement the prioritization process included in Notice CPD-014-12.

In addition to prioritizing people experiencing chronic homelessness, the coordinated entry process prioritizes people who are more likely to need some form of assistance to end their homelessness or who are more vulnerable to the effects of homelessness.

When considering how to prioritize people for housing and homelessness assistance, communities can use the following:

1. Significant health or behavioral health challenges or functional impairments which require a significant level of support in order to maintain permanent housing;
2. High utilization of crisis or emergency services, including emergency rooms, jails, and psychiatric facilities, to meet basic needs
3. The extent to which people, especially youth and children, are unsheltered
4. Vulnerability to illness or death
5. Risk of continued homelessness
6. Vulnerability to victimization, including physical assault or engaging in trafficking or sex work

Communities should decide what factors are most important and, to the greatest extent possible, use all available data and research to inform their prioritization decisions. The coordinated entry process is meant to orient the community to one or two central prioritizing principles by which the community can make decisions about how to utilize its resources most effectively. This prioritization ensures that across subpopulations and people with different types of disabilities, those most vulnerable or with the most severe service needs will be prioritized for assistance.

The prioritization may not target a category of people with a particular disability. However, individual programs, including CoC funded projects, may restrict access to people with a particular disability or characteristic. In these cases, the coordinated entry process should ensure that people are only referred to projects for which they are eligible. At the same time, providers should ensure that eligibility criteria are limited to those required by Federal or local statute or by funding sources.

Communities should take care to ensure that their prioritization process does not allow people who are more vulnerable or who have more severe service needs to languish in shelters or on the streets because more intensive types of assistance are not available. Evidence indicates that one of the most important factors to successfully ending an episode of homelessness is the speed with which the intervention is made available to the person. This means that if a person is assessed as being highly

vulnerable, that person may be prioritized for PSH, but if PSH is not available or the PSH has a long waiting list, that person should be prioritized for other types of assistance such as RRH or TH.

CoCs should not assume that because a person is prioritized for one type of assistance, they could not be served well by another type of assistance. However, CoCs should be aware that placing a household in transitional housing can affect their eligibility for other programs. For example, people coming from transitional housing are not eligible for most rapid re-housing funded under the ESG and CoC Programs and placement in transitional housing can affect a person's chronic homelessness status.

In addition to HUD guidelines derived from the HUD Coordinated Entry and Assessment Policy Brief published in 2015 (and outlined above) HUD issued a Notice on 1/23/2017 that established additional requirement for Coordinated Entry systems. Below are some of the key new/additional/clarified requirements that CoCs must meet by 1/23/2018.

Notice: CPD-17-01 Issued: January 23, 2017

Notice Establishing Additional Requirements for a Continuum of Care Centralized or Coordinated Assessment System

CoCs' written policies and procedures for coordinated entry must: (p. 9)

(1) Describe the standardized assessment process, including documentation of the criteria used for uniform decision-making across access points and staff. Criteria must reflect the prioritization process adopted to meet the requirements outlined in Section II.B.2. of this Notice.

If the CoC is implementing different access points and assessment tools for the different populations listed above, written policies and procedures must separately document the criteria for uniform decision-making within each population for whom different access points and assessment processes are used.

Use of Standardized Access Points and Assessment Approaches. (pp 7-8)

a. Unless otherwise provided in this Notice, the coordinated entry process must offer the same assessment approach at all access points and all access points must be usable by all people who may be experiencing homelessness or at risk of homelessness. The coordinated entry process may, but is not required to include separate access points and variations in assessment processes to the extent necessary to meet the needs of the following five populations:

- (1) adults without children;
- (2) adults accompanied by children;
- (3) unaccompanied youth;
- (4) households fleeing domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions (including human trafficking); and
- (5) persons at risk of homelessness. See II.B.8 for more information.

Variations for these five populations are permissible but not required.

Coordinated Entry in CoC NY-518

COORDINATED ENTRY GOVERNANCE AND POLICY AND PROCEDURE DEVELOPMENT AND IMPLEMENTATION

Coordinated Entry Workgroup

The CoC has a Coordinated Entry Workgroup which is primarily comprised of HUD-funded PSH, PSH/RRH, and Emergency Housing Program. The Coordinated Entry Workgroup covers the entire CoC geographic region (Oneida and Madison Counties) and is primarily comprised of shelter discharge planners, permanent housing intake workers, street outreach providers. Agency staff determines participation based upon a list of clients that are sent out monthly by the CoC. Case conferencing within the CE workgroup is divided into three specific groups; PSH, RRH and Veterans. Led by the CE Specialist, each group strives to meet monthly, however based on need and extenuating circumstances, may meet more or less frequently. All groups adhere to the NY 518 CoC confidentiality agreement as required by HUD for all continuums to follow. All task groups work to case conference clients who:

- a. Return to the list (i.e. return to homelessness)
- b. Refuse to do VI-SPDAT
- c. Are on the list for longer than 45 days
- d. Are in permanent housing programs and are close to being evicted
- e. Potential PSH project transfer
- f. Client refusing multiple housing placement options.

Case Conferencing

Case conferencing is the continuous process by which a multi-disciplinary team of providers meet to designate a housing and /or case management high-priority list. Case conferences shall occur at least monthly, even when there are no permanent housing beds available. They may also occur with greater frequency when needed to fill available permanent housing beds.

Each case conferencing session shall strive to include the participation of at least one representative from each CoC- and ESG- funded housing projects, as well as representatives involved in street outreach, veteran service organizations, emergency shelters, hospital and other physical and behavioral health providers. These providers will make up the Coordinated Entry Workgroup.

Participation in case conferences may be done in person, over the phone or through use of other participatory technology or some combination thereof.

If during case conferencing it become clear that a participant's assessment score is inconsistent with their actual vulnerability, the case conferencing team may request that an individual be reassessed.

Each such instance shall be tracked by coordinated entry staff and shall be used to inform coordinated entry evaluation procedures. The case conferencing process will also attempt to meet the housing needs of participant who are not eligible for housing due to lack of information provided by the participant.

If a consensus with regard to case disposition and appropriate referrals is not obtained during the case conferencing session for any particular homeless person or family, at that point the case will be presented to the CoC planning office for final review and disposition.

NOTE: The final authority to make decisions with regard to placing homeless persons and families ("cases") on the CE Active Lists for Permanent Supportive Housing and for Rapid Rehousing Programs in the CoC's HMIS system resides with the CoC Planning Office and the Coordinated Entry Specialist/Manager who is employed by United Way of the Valley and Greater Utica Area (the CoC's Collaborative Applicant).

The CE Specialist is responsible for documenting the case conferencing notes for each case that is discussed and decided and the CoC Planning Office is responsible for reviewing these decisions and either approving them or sending them back for a subsequent case conferencing session for review and revision.

ACCESS POINTS FOR THE COORDINATED ENTRY SYSTEM FOR UNSHELTERED HOMELESS PERSONS AND FAMILIES

NY-518- During Normal Business Hours

The Oneida County Department of Family, Community and Children Services is the primary contact during business hours to receive shelter/emergency housing services. Per HUD requirements, emergency housing/shelter services for homeless persons and families are not prioritized based on severity of service need or vulnerability. Note, however, that access to Permanent Supportive Housing (PSH) Services including access to PSH for those with disabilities and Rapid Re-Housing Services are prioritized using the assessment tools and processes specified in this policy.

The Oneida County Department of Family, Community and Children Services has office locations in both Utica and Rome at the addresses below:

- Utica Office: 800 Park Ave., Utica, NY 13501
- Rome Office: 228 West Dominick Street, Rome, NY 13440

The Madison County Department of Social Services has an office location at:

- 133 North Court Street, Building 1., Wampsville, NY 13163

NY-518-Outside Normal Business Hours

United Way of the Valley and Greater Utica is responsible for the 2-1-1 system available 24 hours per day/7 days per week. Individuals may contact this line for after-hours shelter services and information about where to apply for and receive and assessment for eligibility and access to homeless assistance programs and services funded by HUD.

ADDITIONAL ACCESS POINTS FOR UNSHELTERED AND UNACCOMPANIED YOUTH 24 hours/day – 7 days/week:

Oneida County: 24/7 Hotline for RHY Assistance 315-624-9939 (MV Community Action Agency)

Madison County: Catholic Charities of Oneida and Madison Counties: 315-724-2158

Herkimer County: 24/7 Hotline for RHY Assistance 315-866-1112 Herkimer County Catholic Charities (NOTE: Herkimer County is adjacent to, but not part of our CoC)

ADDITIONAL ACCESS POINTS FOR PERSONS FLEEING DOMESTIC VIOLENCE 24 hours/day – 7 days/week

Oneida County: YWCA Mohawk Valley in Oneida County provides domestic and sexual violence services throughout Oneida County. To access services in Oneida County, call the 24-hour hotline: (315) 797-7740.

Herkimer County: YWCA Mohawk Valley in Herkimer County provides services to adult victims of sexual violence and adult survivors of child sexual abuse. To access our services in Herkimer County, call the 24-hour hotline: (315) 866-4120. (NOTE: Herkimer County is adjacent to, but not part of our CoC)

Madison County: Toll-free 24-hour Hotline (855) 9-Now-SAFE (855) 966-9723 for victims of domestic violence, sexual assault, and other violent crimes, as well as for concerned friends and family, and professionals seeking consultation.

ACCESS POINTS FOR THE COORDINATED ENTRY SYSTEM FOR SHELTERED HOMELESS PERSONS AND FAMILIES TO ACCESS PERMANENT SUPPORTIVE HOUSING AND RAPID REHOUSING PROGRAMS AND RESOURCES

Oneida County: In addition to all Emergency Housing Programs in Oneida County, the CE System can be accessed at:
Helio Health at 315-732-4202

Madison County: In addition to the Madison County Department of Social Services, the CE System in Madison County can be accessed at:
Madison County Community Action Program
1001 New Market Drive
Canastota, NY 13032
315-697-3588

ACCESS POINT(S) FOR HOMELESS VETERANS IN ONEIDA, MADISON, AND HERKIMER COUNTIES:

If you have served in the military and are homeless or at risk of homelessness call the CNY Veterans Outreach Center in Utica at 315-765-0975. Soldier On also has programs for homeless veterans and veterans at risk of homelessness in our CoC: Contact 1-866-406-8449

ADDITIONAL ACCESS POINTS FOR HOMELESS PERSONS AND FAMILIES:

If you are staying in a shelter or in a motel room and are homeless and have no way to find or obtain permanent housing ask the shelter provider to do a Coordinated Entry Assessment. If the shelter provider cannot do the Assessment, call 315-765-7028 to set up a time to have the assessment done.

If you are living on the street or place not meant for habitation: call street outreach for assistance. ICAN Street Outreach covers all of Oneida Co and can be contacted at 315-982-1109. MHA Street Outreach covers City of Utica can be contacted at 315-982-3731.

If you are not in a shelter but are still homeless and you cannot get to the Department of Social Services Office in Utica or Rome, call 315-922-2014 to have a Coordinated Entry Assessment done.

COMPREHENSIVE AND STANDARDIZED ASSESSMENT TOOL FOR NY-518

The Single Vulnerability Index Service Prioritization Decision Assistance Tool (VI-SPDAT) developed by OrgCode Consulting has been approved by the CoC and will be the coordinated entry assessment tool for individuals who are experiencing homelessness and will be used by all projects that are dedicated or prioritized for the chronically homeless as well as for individuals who are homeless and residing in emergency shelters or on the streets (Category I homeless).

The Family Vulnerability Index Service Prioritization Decision Assistance Tool (VI- FSPDAT) developed by OrgCode Consulting has been approved by the CoC and will be the coordinated entry tool for families who are experiencing homelessness- whether or not they are chronically homeless, first-time homeless or homeless multiple times.

The Transition Aged Youth SPDAT (TAY-VI-SPDAT) developed by OrgCode Consulting has been approved by the CoC and will be the coordinated entry tool for unaccompanied youth who are experiencing homelessness. For purposes of this document, the written standards will use the term “assess” or “assessment” which will refer to these tools and will specify the types of tools as needed.

VI-SDAT Screening and Assessment tools listed above for providers using the CoC’s Service Point System are available via the CoC Service Point System for CoC NY-518 at

<https://sites.google.com/site/servicepointny518/home/vi-spdatt>

PRIORITIZATION OF HOMELESS PERSONS AND FAMILIES FOR PSH/RRH (NOTICE CPD 17-01 P. 11)

The HUD Notice (CPD 17-01) states that “**A community-wide list** generated during the prioritization process, referred to variously as a “By Name List,” “Active List,” or “Master List,” is not required, but can help communities effectively manage an accountable and transparent referral process. If a community-wide list is used, CoCs must extend the same Homeless Management Information System (HMIS) data privacy and security protections prescribed by HUD in the HMIS Data and Technical Standards to “By Name List,” “Active List,” and “Master List” data.”

NY-518 has chosen to develop and implement the use of an “Active List” of persons and families who are eligible for “non-emergency” homeless assistance programs funded with CoC and/or ESG funds including all TH, PSH, and RRH supportive housing programs in Oneida County.

HUD Notice (CPD 17-01) further states that “Assessment tools might not produce the entire body of information necessary to determine a household’s prioritization, either because of the nature of self-reporting, withheld information, or circumstances outside the scope of assessment questions that address one or more of the factors discussed above. For these reasons, it is important that case workers and others working with households have the opportunity to provide additional information through case conferencing or another method of case worker input. It is important to note, however, that only information relevant to factors listed in the coordinated entry written policies and procedures may be used to make prioritization decisions and must be consistent with written standards established under 24 CFR 576.400(e) and 24 CFR 578(a)(9).” CoC NY-518’s Coordinated Entry Policies and Procedures include the ability to incorporate the use of “additional information” (within HUD guidelines) that is not included in items on VI-SPDAT tools used to collect data and determine scores used when making prioritization decisions for supportive housing services.

The CoC has developed one streamlined waitlist that can be found in the CoC’s Service Point System site

<https://sp5.servicept.com/mvhomeless/com.bowmansystems.sp5.core.ServicePoint/index.html>

POLICIES AND PROCEDURES FOR THE USE OF AN “ACTIVE LIST” FOR PRIORITIZATION TO ACCESS TO HUD FUNDED SUPPORTIVE HOUSING PROGRAMS

The “Active List” is categorized by the assessment score of the most vulnerable and/or chronically homeless people who may also be experiencing the longest length of stays of homelessness in our CoC. Through this list, people at the top, will be prioritized in two tiers: one for Permanent Supportive Housing (PSH) and one for Rapid Rehousing (RRH).

1. The “PSH Active List” will include all those who are chronically homeless or who are homeless multiple times or are first-time homeless and have a disability that makes them eligible for a PSH program that only serves persons with a documented behavioral health disability. The PSH Active List includes all those single persons and youth who score at 8 or above, and all families who score 9 or more.

- a. If a client who scores for PSH is not actively engaged in treatment within the last 30 days, they will lose their spot on the CE list for programs requiring this documentation. Once engaged and able to provide the appropriate documents, they will be reprioritized. This is to prevent a backlog of clients waiting to be housed under PSH. The Coordinated Entry Specialist is responsible also for assisting PSH housing programs with the collection of documentation and completion of applications as necessary. This is to allow for a more efficient housing process, and to ensure all programs are utilized to capacity.
2. The “RRH Active List” Active List: includes all homeless adults with or without children who are NOT chronically homeless, and who score between 4 and 7 for singles and youth and between a score of 4 and 8 for families when assessed with the VI-SPDAT, VI- FSPDAT, or the TAY-VI-SPDAT.

The table for the VI-SPDAT Score Range for access to various HUD-funded housing programs in our CoC is below.

| PROJECT REFERRAL CRITERIA | VI-SPDAT SCORE RANGE | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|--------------|----------------------|
| | Family | Single Adult | Youth (up to age 24) |
| Resource, Referral and Self-Resolve Strategies <ul style="list-style-type: none"> Client able to address housing barriers with individual resources and/or available community-based resources | 0-3 | 0-3 | 0-3 |
| Crisis Response – Emergency Shelter [ES] <ul style="list-style-type: none"> Literally [street] homeless Fleeing or attempting to flee DV or family violence | N/A | N/A | N/A |
| Rapid Rehousing [RRH] <ul style="list-style-type: none"> Regular income or recent work history or ability to quickly obtain income for housing Can be used as a bridge to permanent subsidy | 4-8 | 4-7 | 4-7 |
| Transitional Housing <ul style="list-style-type: none"> No income or inadequate income Independent living skills issues/needs Life-transition issues (e.g. youth ages 15-24 including youth parents, persons fleeing domestic violence or family violence and not yet able to live independently) | 4-8 | 4-7 | 4-7 |
| Permanent Supportive Housing <ul style="list-style-type: none"> No income or inadequate income Disability that can be documented Independent Living Skills Issues History of housing instability or prior homeless episodes | 9+ | 8+ | 8+ |

All emergency shelter providers receiving HUD funds and/or participating in the NY-518 Coordinated Entry System are required to:

- 1.) **Enter the client into the CoC's Service Point/HMIS System within 72 hours of entering the shelter.**
- 2.) **Assess persons who enter their shelter using the appropriate VI-SPDAT assessment tool within 5 days after entry** during this current episode of homelessness.

Other non-shelter entities such as **The Oneida County Department of Family, Community and Children Services** must also comply with Coordinated Entry participation. This will allow those who are unable to go into the shelter but are being housed by **The Oneida County Department of Family, Community and Children Services** to be identified and entered into the CE system in a timely manner. Individuals who have been in a hotel/motel or other similar accommodation paid for by **The Oneida County Department of Family, Community and Children Services** should have a coordinated entry assessment completed after being assisted for two nights. If referred to CE specialist prior to this time period, the CE specialist will only complete an entry and schedule a follow up appointment for the completion of the ViSpdat.

The purpose of this wait period policy is to allow clients both in the shelter and who are being assisted by **The Oneida County Department of Family, Community and Children Services** to self- resolve before fully entering the homeless system, thus streamlining and reducing the master list.

If a client exits shelter without an exit interview, they are removed from the Coordinated Entry list. If they return within 30 days, their CE assessment will be reopened. If they return outside of this time frame, a new coordinated entry assessment will be completed. Extenuating circumstances will be taken into account when considering a client's housing needs – ex; hospitalizations, emergency situations and other incidents that are beyond the client's control.

Persons with Prior Military Service (Veterans)

All VI-SPDAT assessment forms will be used to identify Veterans in need of assistance. Once identified and placed on the Coordinated Entry Active List, Veterans will be referred to the Central NY Veterans Outreach Center and/or the Veterans Administration for consideration to VASH or a Support Service for Veterans and Families (SSVF) provider. Eligible Veterans will be offered permanent housing through a case conference meeting and communication between the VASH provider and the two SSVF providers in CoC NY-518 (CNY Veterans Outreach Center and Soldier On). The goal will be to permanently house them within 90 days.

Veterans who are not eligible for VASH or SSVF assistance will be prioritized for CoC funded programs such as Permanent Supportive Housing if they are eligible, Transitional Housing for those with higher needs (who also meet the eligibility criteria for an existing TH program) or for a Rapid Rehousing program that is not dedicated to eligible Veterans only. The goal is to permanently house all Veterans regardless of VA eligibility within 90 days of the first engagement or within 90 days of when they choose to accept an offer of permanent housing.

Using the Active List to Prioritize Persons and Families for PSH and RRH Projects:

The Coordinated Entry Specialist is responsible for maintaining the prioritization of all clients on the CE list in accordance with both HUD and COVID Vulnerability guidelines. The Coordinated Entry Specialist will delegate clients to both RRH and PSH Programs based on specific program eligibility guidelines. This is to eliminate duplication of services as well as confusion of eligibility. With so many new programs and different funding sources available and coming available this will provide a more streamlined process for providers and make it easier to track clients.

This will also ensure that programs are taking clients appropriate to their funding sources as well as spending down their CoC allotted funds as appropriate. It will also reduce confusion about clients who have been case conferenced and or moved from one category to another based on their circumstances and qualifications at the time. Many clients have not remained in the category they have scored for due to various factors such as additional unemployment funds, a lack of engagement in treatment etc. This updated process should make enrolling clients and getting them off the CE list quicker and easier for everyone involved as well as provide an immediate point of contact (CE specialist) for clients and providers regarding RRH/PSH questions and concerns.

Assessment (VI-SPDAT/VI-FSPDAT Scoring and Prioritization for TH, PSH and RRH:

For all CoC and ESG projects, when there is a vacancy in their TH, PSH or RRH projects, project managers must receive referrals directly from the Coordinated Entry Specialist, who uses the CoC's Service Point/HMIS CE Active List, which is a current, "in real-time" list, to fill this vacancy. Projects will no longer carry their own independent waitlist as this violates HUD regulations and creates a risk of "cherry-picking" and "side doors" to housing that more vulnerable individuals and families could have benefitted from. Per the Scoring Summary Recommendations contained the VI-SPDAT and in the table above, homeless persons and families will get placed on the Active List into a program category based on the assessment score.

NOTE: Providers are required to accept Active List cases for openings in their programs from the CE Specialist based on the following criteria:

- 1.) First selecting cases that score within the program category (per the table above), providers have the option of first serving singles or families that can be located and contacted and that put together the required documentation required for program eligibility as long as their VI-SPDAT score falls within the range need for their program type (e.g. Rapid Rehousing vs. Permanent Supportive Housing).
- 2.) After first selecting cases, within the program category, cases (households) who report that they have been homeless longest should be prioritized for service and selected for outreach over those that have not been homeless as long (for this current homeless episode). Persons and heads of households who have been homeless a year or more continuously are considered "chronically homeless" by HUD and should be selected first. Domestic Violence, Chronic Homelessness, COVID Vulnerability and Veteran status clients also are prioritized first.

a. HUD Covid Prioritization Guidance:

https://www.hud.gov/sites/dfiles/CPD/documents/QA-CE_Prioritization_COVID-19_FINAL_2020-08-24.pdf

- 3.) After reviewing the Active List per step one and two above, if there are still multiple households with the same length of time for their current episode of homelessness, the homeless assistance provider is required to select the household with the most homeless episodes (e.g. four or more times ("chronically homeless") vs. one-time) to contact to review program eligibility and if eligible, to do a program intake.
- 4.) If households have an assessment score that locates them in the same housing category and also have the same length of time homeless, and also the same number of homeless episodes- the household who has been on the Coordinated Entry Active List the longest should be served first if they can be located and contacted and are able to put together the documentation required for program eligibility.

All street outreach providers are also required to assess persons found in places not meant for human habitation using the assessment tool per the local ESG funding requirements. The street outreach workers will continue to work with their clients to make other referrals for additional services as needed and to follow up on any documentation or other requirements the housing providers need to accept their client into their project.

Clients referred and accepted into programs may be required to move into the first suitable apartment available once it has passed inspection as mandated by The Oneida County Department of Family, Community and Children Services as well as the individual RRH or PSH program. This is to prevent a backlog of clients on the CE list as well as to keep the available housing stock utilized. With a low inventory of affordable housing it is imperative to keep the CE List turnover moving as efficiently as possible.

Low Barrier Policy

The term "low barrier" refers to minimal eligibility and enrollment obstacles resulting in homeless persons being engaged and enrolled in homeless assistance projects regardless of perceived barriers such as lack of income, lack of sobriety, presence of criminal records, or historical non-compliance with program requirements.

No person or family in CoC NY-518 may be turned away from HUD or other federally-funded TH/PSH/RRH housing for homeless persons due to lack of income, source of income, current or prior "sanction" by the County Department of Social Services, lack of employment, disability status (including mental health and substance use disability), domestic violence status, or criminal justice contact or involvement unless the project's primary funder or local government jurisdiction requires the exclusion (e.g. for Level III Sex Offenders) or a previously existing and documented neighborhood covenant/good neighbor agreement has explicitly limited enrollment to clients with a specific set of attributes or characteristics. Funders restricting access to projects based on specific client attributes or

characteristics will need to provide documentation to the CoC providing a justification for their enrollment policy.

Providers must not screen participants out based on the following:

1. Having too little or no income;
2. Active or history of substance abuse;
3. Having a criminal record with exceptions for state-mandated restrictions; or
4. History of domestic violence (e.g., lack of a protective order, period of separation from abuser, or law enforcement involvement).

Referral Rejection Policy

Both CoC providers and program participants may deny or reject referrals from the defined CES access point, although service denials should be infrequent and must be documented in the HMIS as prescribed by the CoC. All participating projects must provide the reason for service denial, and may be subject to a limit on number of service denials. Aggregate counts of service denials, categorized by reason for denial, will be reported by the CoC annually.

At a minimum, project's referral rejection/denial reasons must include one or more of the following:

- Client/household refused further participation (or client moved out of CoC area)
- Client/household does not meet required criteria for program eligibility
- Client/household unresponsive to multiple communication attempts
- Client resolved crisis without assistance
- Client/household safety concerns. The client's/household's health or well-being or the safety of current program participants would be negatively impacted due to staffing, location, or other programmatic issues.
- Client/household needs cannot be addressed by the program. The program does not offer the services and/or housing supports necessary to successfully serve the household. Program at bed/unit/service capacity at time of referral
- Property management denial (include specific reason cited by property manager)
- Conflict of interest (e.g. client is related to program staff who would be serving the client)

These decisions will be documented in HMIS and securely communicated to the CE manager via email with the reasons as to why the housing provider is not accepting the client. If a client is rejected due to safety concerns, the client will be added to the case conferencing discussion during the Coordinated Entry Workgroup meeting.

In the event of a service denial or participant rejection the following steps must be followed:

1. Reason for not selecting the clients into a program based on their position on the Active List must be communicated back to the CES manager¹ and/or the CoC Planning Office, within 3 business days.
2. All referral requests that result in a denial must be reviewed by the CES manager and/or the CoC Planning Office. If a referral is not served by the program they were referred to, the HMIS record must be updated to reflect the reason for the denial.
3. The Federally-Funded Homeless Assistance project denying the referral must notify the CES manager, within 3 business days starting the day after the denial. A detailed written justification of the referral denial must be kept by the provider and be available for review by the CoC Planning Office and CES manager.
4. A provider who denies three sequential referrals will be required to participate in a case conferencing meeting with the CES manager and/or the CoC Planning Office.
5. A client who denies three sequential referrals will be required to participate in a case conferencing meeting with the CES manager and/or the CoC Planning Office.

Acceptance/Rejection Policy-Client

If an individual or family rejects multiple housing provider placements (more than one) the Coordinated Entry Workgroup will review the case and discuss reasons for rejections in order to come up with alternative housing solutions.

PARTICIPANT AUTONOMY

HUD Notice CPD 17-01 states: *The coordinated entry process must allow participants autonomy to freely refuse to answer assessment questions and to refuse housing and service options without retribution or limiting their access to assistance. Written policies and procedures must specify the conditions for participants to maintain their place in coordinated entry prioritized list when the participant rejects options.*

PARTICIPANT AUTONOMY: NY-518 CoC

Participation in the NY-518 Coordinated Entry System for permanent supportive housing may be denied to participants who refuse to answer specific assessment questions or who refuse housing and service options within the parameters set by HUD associated with eligibility and enrollment in HUD-funded supportive housing programs. For example, participants are required to answer questions about their housing status to determine whether they are indeed homeless and eligible for services. Also, HUD-funded PSH programs that are constricted by HUD program rules to serving participants with specific disabilities are required to collect information from applicants to determine disability status. Refusal to provide the specific information required by HUD to enroll a person or household in a particular

¹ The CoC Planning Office will be the primary point of contact for questions and issues related to CES Policies and Procedures.

program does not result in denying access to assistance in general, but may preclude the ability of a HUD-funded service provider to allow access to a particular permanent supportive housing program.

Participant Right of Refusal or Failure to Engage: The NY-518 CE System is person-centered and based on client choice. Individuals and families have the right to refuse any housing resource that is offered to them. Refusing a resource does not impact eligibility for future referrals. However, referring and homeless service agencies must ensure that participants understand that the CE process does not operate as a point in time waitlist and that referrals are made to programs based on a household's eligibility and prioritization relative to other homeless households who need housing assistance. Households should not assume that they will be prioritized for future openings and plan accordingly.

While Providers are expected to make every effort to engage CE individuals and families housing units must not stay vacant longer than needed. For this reason, housing programs may discontinue working with a referred household and outreach to the next household on the Active List if the household fails to complete an intake appointment and provide eligibility verification after a total of three (3) contact attempts over the course of five (5) business days have passed since the initial attempt. If this occurs, Providers must notify the CES Manager and/or the CoC Planning Office.

Filling Vacancies outside of Coordinated Entry: Externally filling a TH, PSH or PSH/RRH vacancy outside of the CE System is not permitted.

Grievance Policy: Immediately upon working with any individual or family, Housing Assistance Agencies participating in the Coordinated Entry System must provide the individual or family with the Coordinated Entry Grievance Policy. All individual's or family's concerns and grievances must be resolved promptly and fairly, in the most information and appropriate manner. Providers shall inform individuals and families of the following process for filing a grievance.

1. HOUSING PROGRAM GRIEVANCES are grievances that are related to the individual's or family's experience(s) with a homeless housing program. These grievances shall be redirected back to the Provider to follow the Provider's grievance policies and procedures.

2. FAIR HOUSING GRIEVANCES are grievances that are related to discrimination. For additional information on fair housing laws, contact: Central NY Fair Housing at 315-471-0420

To file a formal fair housing complaint, contact: U.S. Dept. of Housing & Urban Development (http://portal.hud.gov/hudportal/HUD?src=/program_offices/fair_housing_equal_opp) File a complaint online: http://portal.hud.gov/hudportal/HUD?src=/topics/housing_discrimination or call (206) 220-5170 (800.877.0246) TTY (206) 220-5185

3. COORDINATED ENTRY GRIEVANCES are grievances that are related to CE policies and/or procedures. Grievances related to CE policies and/or procedures shall be directed to: MV Housing and Homeless Coalition, 258 Genesee St Utica, NY 13502 or by email to sdarman@mhomeless.org or phone: (315) 316-0114

APPENDIX I

NY-518 Coordinated Entry Client Referral Rejection/Denial Form

| Client ID | VI- SPDAT Date | VI- SPDAT Score | Reason for Rejection or Denial (use letter code) | Case Manager Name | Program Name/Agency | Date of Rejection |
|-----------|----------------------|-----------------------|-----------------------------------------------------------|-------------------|------------------------|----------------------|
| | | | | | | |

At a minimum, project's referral rejection/denial reasons must include one or more of the following:

- a. Client/household refused further participation (or client moved out of CoC area)
- b. Client/household does not meet required criteria for program eligibility (including inability to provide the necessary documentation for program intake/eligibility).
- c. Client/household unresponsive to multiple communication attempts (document communications attempts- dates, times, method below).
- d. Client resolved crisis without assistance
- e. Client/household safety concerns. The client's/household's health or well-being or the safety of current program participants would be negatively impacted due to staffing, location, or other programmatic issues.
- f. Client/household needs cannot be addressed by the program. The program does not offer the services and/or housing supports necessary to successfully serve the household. Program at bed/unit/service capacity at time of referral
- g. Property management denial (include specific reason cited by property manager)
- h. Conflict of interest (e.g. client is related to program staff who would be serving the client)

If client/household was unresponsive to multiple communication attempts (three or more within 5 business days) document communications attempts- dates, times, method below.

NOTE: The Service Point System our CoC uses has the capability to record and store the information above. *This form is not necessary as long as the information requested is entered into Service Point.*

APPENDIX II

Mohawk Valley Housing and Homeless Coalition

Utica/Rome/Oneida and Madison Counties HUD Continuum of Care (NY-518)

Collaborative Applicant: United Way of the Valley and Greater Utica, 258 Genesee St.

Utica, NY 13502 - www.mvhomeless.org

Coordinated Entry and Assessment Appeals Process

If a homeless head of household seeking housing services is dissatisfied with a service, decision, action or situation involving the MV Housing and Homeless Coalition's Coordinated Entry and Assessment system or process, or if a member agency wishes to file a complaint against a perceived unfair treatment, the following procedures can be followed:

The Client can make a verbal complaint to Coordinated Entry (CE) Manager and/or to the CoC Planning Office. An attempt to resolve complaint will be made within 5 business days. The CoC Planning Office contact information is below:

Attn: Steve Darman, CoC Chair
Robin Robinson, United Way Collaborative Applicant
258 Genesee St
Utica, NY 13502
Phone: 315-868-2155
Email: sdarman@mvhomeless.org

If the Client is unsatisfied with the resolution and would like to file a formal written complaint, a Grievance Form will be provided and submitted to the Coordinated Entry Committee.

Within 30 days of receipt, the Coordinated Entry Committee will review the formal complaint and determine the best course of action. Complaints regarding the scoring of a particular client with the VISPDAT and/or program acceptance or denial will be reviewed closely on a case by case basis. The Coordinated Entry Committee may require the individual issuing the complaint to meet with the Committee to discuss the need of reconsideration for a particular individual.

Within 7 business days after review of the written complaint, The Coordinated Entry Committee, consisting of the CoC Chair, associate planners and planning office staff will inform the Client of the resolution of the complaint. The decision will be a written letter documenting the original complaint, all measures taken to resolve complaint and the final decision. This letter will be issued to person making complaint. All decisions made by the Coordinated Entry Committee will be final.

Appendix J: Continuum of Care Coordinated Entry Method of Prioritization for HOME-ARP Funded Affordable Rental Units

Policy in process of being amended/updated to comply with requirements of the HOME-ARP plan and regulations established by the US Department of Housing and Urban Development (HUD).

Appendix K: City of Utica, NY 2020-2024 Consolidated Plan

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

City of Utica, New York

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

April 18, 2020



TO ADDRESS PLAN FOR EXPENDITURE OF SUPPLEMENTAL ESG-CV FUNDING PROVIDED FOR BY THE CARES ACT TO PREVENT, PREPARE FOR AND RESPOND TO THE GLOBAL CORONAVIRUS PANDEMIC; AMENDED AGAIN ON JUNE 22, 2020 TO ADD THE FIRST ROUND OF SUPPLEMENTAL CDBG-CV FUNDING; AMENDED AGAIN ON FEBRUARY 11, 2021 TO ADJUST 2020-2021 CDBG AND HOME GRANT ALLOCATIONS BASED ON LETTER FROM HUD DATED DECEMBER 17, 2020; AMENDED AGAIN ON FEBRUARY 16, 2021 TO ADD THE THIRD ROUND OF SUPPLEMENTAL CDBG-CV FUNDING; AMENDED AGAIN ON APRIL 1, 2021 TO REALLOCATE \$150,00 IN CDBG REVOLVING LOAN FUND PROCEEDS/PROGRAM INCOME TO DEMOLITION, AND \$140,084 IN ESG FUNDS FROM PRIOR PROGRAM YEARS TO 2020-2021 SHELTER, OUTREACH, HOMELESSNESS PREVENTION AND RAPID RE-HOUSING PROGRAMS; AMENDED AGAIN ON AUGUST 11, 2021 FOR EXPENDITURE OF SUPPLEMENTAL ESG-CV II FUNDING TOTALING \$486,089 PROVIDED FOR BY THE CARES ACT TO PREVENT, PREPARE FOR AND RESPOND TO THE GLOBAL CORONAVIRUS PANDEMIC; AMENDED AGAIN ON MAY 26, 2022, IN WHICH THE ACTION INVOLVES A TRANSFER OF \$156,832.00 OF PREVIOUSLY UNALLOCATED ESG-CV FUNDS TO THE FOLLOWING ACTIVITY: INTEGRATED COMMUNITY ACTION NETWORK (ICAN) ESG-CV RAPID REHOUSING PROGRAM. THESE FUNDS WILL INCREASE THE ALLOCATION OF ICANs ESG-CV RAPID REHOUSING PROGRAM FROM \$179,600.00 TO \$336,432.00; AMENDED AGAIN ON AUGUST 16, 2022, IN WHICH THE ACTION INVOLVES A TRANSFER OF \$231,692.04 OF FUNDS PREVIOUSLY ALLOCATED TO THE UNHS HOMEOWNERSHIP CENTER FOR A RENT/MORTGAGE RELIEF THAT WAS TERMINATED, TO THE MUNICIPAL HOUSING AUTHORITY FOR ITS LOW-BARRIER DROP-IN CENTER. AMENDED AGAIN ON JANUARY 23, 2023 TO TRANSFER \$2,433,617, INVOLVING ERP REVOLVING LOAN FUNDS (\$1 MILLION) AND COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) FUNDS (\$1,433,617), OF WHICH MAJORITY OF THE FUNDS WERE ALLOCATED FOR ADMINISTRATIVE EXPENSES BETWEEN 2012 AND 2019. THE FUNDS WILL BE TRANSFERRED TO VARIOUS CDBG-ELIGIBLE ACTIVITIES, INCLUDING: PAVING (\$1,000,000), PLAYGROUND IMPROVEMENTS, (\$250,000) SIDEWALK IMPROVEMENTS (\$130,503), OTHER ADA IMPROVEMENTS (\$600,000), FIREHOUSE IMPROVEMENTS (\$200,000) & TURN OUT GEAR (\$53,114), AND UNITED CEREBRAL PALSY (\$200,000). THIS PROPOSAL ALSO INCLUDES A TRANSFER OF \$70,000 FROM 2017-2018 CDBG FUNDS, ORIGINALLY ALLOCATED TO UPD FIXED LOCATION SURVEILLANCE SOLUTIONS, TO THE 2021-2022 EMPLOYMENT VIA SOCIAL ENTERPRISE ACTIVITY THAT BEGAN IN 2020 TO ASSIST THE CITY OF UTICA'S HOMELESS POPULATIONS.

EXECUTIVE SUMMARY

ES-05 EXECUTIVE SUMMARY - 24 CFR 91.200(c), 91.220(b)

1. INTRODUCTION

IN COMPLIANCE WITH HUD REGULATIONS, THE CITY OF UTICA DEVELOPED THIS FY 2020-2024 FIVE YEAR CONSOLIDATED PLAN FOR THE PERIOD OF APRIL 1, 2020 THROUGH MARCH 31, 2024 AS A STRATEGIC IMPLEMENTATION PLAN FOR THE CITY'S FEDERAL FUNDING PROGRAMS FOR HOUSING, COMMUNITY AND ECONOMIC DEVELOPMENT.

THE CITY OF UTICA IS AN ENTITLEMENT COMMUNITY UNDER THREE U.S. DEPARTMENT OF HOUSING & URBAN DEVELOPMENT'S (HUD) PROGRAMS:

1. COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG)

CDBG FUNDS ARE USED TO DEVELOP VIABLE URBAN COMMUNITIES BY PROVIDING DECENT HOUSING AND A SUITABLE LIVING ENVIRONMENT AND EXPANDING ECONOMIC OPPORTUNITIES PRINCIPALLY FOR LOW- AND MODERATE-INCOME PERSONS.

2. HOME INVESTMENT PARTNERSHIP (HOME)

HOME FUNDS CAN BE USED FOR A WIDE RANGE OF ACTIVITIES INCLUDING ACQUIRING, DEVELOPING, AND/OR REHABILITATING AFFORDABLE HOUSING FOR RENT OR HOMEOWNERSHIP OR PROVIDING DIRECT RENTAL ASSISTANCE TO LOW-INCOME PEOPLE IN ORDER TO CREATE AFFORDABLE HOUSING FOR LOW-INCOME HOUSEHOLDS.

3. EMERGENCY SOLUTIONS GRANT (ESG)

ESG FUNDS ENGAGE HOMELESS PERSONS AND HOUSEHOLDS LIVING ON THE STREET; IMPROVE THE NUMBER AND QUALITY OF EMERGENCY SHELTERS FOR HOMELESS PERSONS AND HOUSEHOLDS; HELP OPERATE SHELTERS; PROVIDE ESSENTIAL SERVICES TO SHELTER RESIDENTS; RAPIDLY RE-HOUSE HOMELESS PERSONS AND HOUSEHOLDS; AND PREVENT PERSONS AND HOUSEHOLDS FROM BECOMING HOMELESS.

THE FIVE YEAR CONSOLIDATED PLAN ESTABLISHES THE UTICA'S GOALS FOR THE NEXT FIVE (5) YEAR PERIOD AND OUTLINES INITIATIVES THE CITY PROPOSES TO UNDERTAKE TO ADDRESS ITS NEEDS AND OBJECTIVES INCLUDING: 1) PUBLIC INFRASTRUCTURE; 2) THE REHABILITATION AND CONSTRUCTION OF DECENT, SAFE, AND HEALTHY HOUSING; 3) CREATING A SUITABLE LIVING ENVIRONMENT; 4) REMOVING SLUMS AND BLIGHTING CONDITIONS; 4) PROMOTING FAIR HOUSING; 5) IMPROVING PUBLIC SERVICES; 6) EXPANDING ECONOMIC OPPORTUNITIES; AND 7) PRINCIPALLY BENEFITTING LOW AND MODERATE INCOME PERSONS.

THE CONSOLIDATED PLAN IS IMPLEMENTED THROUGH ANNUALLY-DEVELOPED ACTION PLANS WHICH PROVIDE A CONCISE SUMMARY OF THE ACTIONS, ACTIVITIES, AND SPECIFIC FUNDING RESOURCES THAT WILL BE USED EACH YEAR TO ADDRESS THE PRIORITY NEEDS AND GOALS IDENTIFIED IN THE CONSOLIDATED PLAN; BOTH PLANS ARE SUBMITTED TO HUD FOR REVIEW AND APPROVAL. THIS CONSOLIDATED PLAN WILL INCLUDE THE FIRST YEAR (2020 - 2021) ANNUAL PLAN.

THIS 2020 – 2024 CONSOLIDATED PLAN IS AN OUTGROWTH OF A NUMBER OF OTHER PLANNING INITIATIVES THAT THE CITY HAS EMBARKED ON IN JUST THE PAST TWELVE TO EIGHTEEN MONTHS. THE CITY HAS COMPLETED A MASTER PLAN OF ITS PARKS AND RECREATION SYSTEM; THE PLAN WAS ADOPTED BY THE COMMON COUNCIL IN JUNE 2019. ADDITIONALLY, THE CITY HAS BEEN WORKING WITH THE COMMUNITY FOUNDATION OF HERKIMER AND ONEIDA COUNTIES ON THE DEVELOPMENT OF A DOWNTOWN VISION PLAN. AS A RESULT OF THAT PLAN, THE CITY WAS SUCCESSFULLY AWARDED A \$10 MILLION DOWNTOWN REVITALIZATION INITIATIVE (DRI) GRANT BY GOVERNOR CUOMO IN NOVEMBER 2019. AS OF THE DRAFTING OF THIS CONSOLIDATED PLAN, A LOCAL STEERING COMMITTEE HAS MET SEVERAL TIMES TO DISCUSS POTENTIAL PROJECTS TO BE FUNDED WITH THIS \$10 MILLION WITH FINAL DECISIONS ANTICIPATED IN SUMMER 2020 AND IMPLEMENTATION TO BEGIN IN 2021.

2. SUMMARY OF THE OBJECTIVES AND OUTCOMES IDENTIFIED IN THE PLAN NEEDS ASSESSMENT OVERVIEW

THE CITY OF UTICA IS REQUIRED TO USE HUD'S PERFORMANCE OUTCOME MEASUREMENT SYSTEM (POMS) FOR THE CONSOLIDATED PLAN. THE POMS WAS DEVELOPED TO ENABLE HUD TO COLLECT AND AGGREGATE STANDARDIZED PERFORMANCE DATA ON ENTITLEMENT-FUNDED ACTIVITIES FROM ALL ENTITLEMENT GRANTEES NATIONWIDE FOR USE IN REPORTING TO THE US CONGRESS ON THE EFFECTIVENESS OF FORMULA ENTITLEMENT PROGRAMS IN MEETING HUD'S STRATEGIC OBJECTIVES.

THE HUD POM HAS THREE OBJECTIVES WITH PERFORMANCE OUTCOMES AND MEASUREMENTS:

CREATING A SUITABLE LIVING ENVIRONMENT

-ACCESSIBILITY FOR THE PURPOSE OF PROVIDING SUITABLE LIVING ENVIRONMENTS -AFFORDABILITY FOR THE PURPOSE OF PROVIDING SUITABLE LIVING ENVIRONMENTS -SUITABILITY FOR THE PURPOSE OF PROVIDING SUITABLE LIVING ENVIRONMENTS

PROVIDING DECENT AFFORDABLE HOUSING

-ACCESSIBILITY FOR THE PURPOSE OF PROVIDING DECENT AFFORDABLE HOUSING -AFFORDABILITY FOR THE PURPOSE OF PROVIDING DECENT AFFORDABLE HOUSING -SUITABILITY FOR THE PURPOSE OF PROVIDING DECENT AFFORDABLE HOUSING

CREATING ECONOMIC OPPORTUNITIES

-ACCESSIBILITY FOR THE PURPOSE OF CREATING ECONOMIC OPPORTUNITIES -AFFORDABILITY FOR THE PURPOSE OF CREATING ECONOMIC OPPORTUNITIES -SUITABILITY FOR THE PURPOSE OF CREATING ECONOMIC OPPORTUNITIES

IN ADDITION TO DETERMINING THE PERFORMANCE OUTCOME MEASUREMENT, HUD ALSO REQUIRES ENTITLEMENT GRANTEES TO USE THE HUD INTEGRATED DISBURSEMENT AND INFORMATION SYSTEM (IDIS) ACCOMPLISHMENT DATA SYSTEM ACCORDING TO EIGHTEEN (18) FEDERALLY-DEFINED PERFORMANCE INDICATOR CATEGORIES RELATED TO THE FOLLOWING:

1. HOUSING CONSTRUCTION AND REHABILITATION

2. PUBLIC SERVICES AND FACILITIES

3. BUSINESS/ECONOMIC DEVELOPMENT

4. HOMELESSNESS PREVENTION-RELATED ACTIVITIES

THE 2020 – 2024 CONSOLIDATED PLAN OUTLINES THE ACTIVITIES THE CITY OF UTICA PROPOSES TO INITIATE TO ACHIEVE THESE OBJECTIVES AND ASSOCIATED OUTCOMES REQUIRED BY HUD. THE CITY OF UTICA EXPECTS TO ALLOCATE A LARGE PERCENTAGE OF ITS CDBG HUD ENTITLEMENT FUNDS TO “COMMUNITY” REDEVELOPMENT PROGRAMS THAT ARE PART OF A COMPREHENSIVE APPROACH. THE 2020 – 2024 CONSOLIDATED PLAN OUTLINES VARIOUS ACTIVITIES WITHIN THE FOLLOWING CATEGORIES: HOUSING CONSTRUCTION AND REHABILITATION, PUBLIC SERVICES AND COMMUNITY DEVELOPMENT, BUSINESS /ECONOMIC DEVELOPMENT AND HOMELESSNESS PREVENTION ACTIVITIES.

3. EVALUATION OF PAST PERFORMANCE

IN THE PAST FIVE YEARS, UNDER THE CITY’S 2015 – 2019 CONSOLIDATED PLAN, THE CITY OF UTICA WITNESSED EXPLOSIVE GROWTH ACROSS ALL OF ITS VARIOUS NEIGHBORHOODS. ADDITIONALLY, THE DEVELOPMENT WASN’T LIMITED TO JUST ONE SECTOR OR TYPE. PROJECTS INCLUDED A HEALTHY MIX OF NEW CONSTRUCTION AND GUT REHABILITATION INVOLVING RETAIL, OFFICE, HIGH-END LOFT APARTMENTS AND AFFORDABLE HOUSING. AS A RESULT, THE CITY’S TAX BASE HAS SEEN SIZABLE INCREASES CONSISTENTLY FROM YEAR TO YEAR.

DURING THE SAME TIME, THE CITY HAS BEEN INCREDIBLY SUCCESSFUL IN MARKETING AND SELLING ALL OF ITS COMMERCIAL PROPERTIES THAT THE CITY HAD IN INVENTORY WHEN MAYOR PALMIERI CAME INTO OFFICE IN JANUARY 2012. THE BULK OF THOSE PROPERTIES WERE LOCATED THROUGHOUT THE DOWNTOWN NEIGHBORHOOD. SOLD BY THE CITY’S URBAN RENEWAL AGENCY (UURA), THE PROPERTIES HAVE BEEN RETURNED TO PRODUCTIVE USE AND BACK TO THE TAX ROLLS.

THE IMPROVED ECONOMY AT THE LOCAL, STATE AND NATIONAL LEVEL OVER THESE PAST FIVE YEARS IS ALSO REFLECTED IN THE NOTABLE REDUCTION IN RESIDENTIAL PROPERTIES THAT HAVE BEEN TAKEN BY THE CITY THROUGH ITS TAX FORECLOSURE PROCESS. FOR THE PAST SEVERAL YEARS, THE UURA HAS SOLD OUT OF ITS INVENTORY OF RESIDENTIAL PROPERTIES BEFORE TAKING TITLE TO THE NEXT BATCH OF PROPERTIES. PER ITS PRACTICE, THE MAJORITY OF SUCCESSFUL BIDDERS INTEND TO OCCUPY THE HOMES THAT THEY ARE PURCHASING, MANY BEING FIRST-TIME HOMEBUYERS WITH A FAIR SHARE OF THEM BEING IMMIGRANTS AND REFUGEES WHO ARE REALIZING THEIR SHARE OF THE AMERICAN DREAM FOR THE FIRST TIME.

FOR NEARLY TWENTY YEARS PRIOR TO THE MOST RECENT 2015 – 2019 CONSOLIDATED PLAN, THE CITY OF UTICA UTILIZED CDBG FUNDS FOR THE DEMOLITION OF RESIDENTIAL STRUCTURES OF FOUR UNITS OR LESS. PART OF THE CITY’S RATIONALE WAS THAT THERE WAS A PREPONDERANCE OF SUCH HOMES THROUGHOUT THE CITY, SO MUCH SO THAT THAT CITY HAD TO CALL THE NATIONAL GUARD IN DURING THE 1990’S TO ASSIST WITH DEMOLITION AS INCIDENT OF ARSON WERE ON A FRIGHTENING INCREASE. HOWEVER, PART OF THE RATIONALE WAS THAT THE ACTIVITY WAS THAT THE FEDERAL ENVIRONMENTAL REVIEW REQUIRED FOR SUCH STRUCTURES WAS MUCH SIMPLER THAN FOR LARGER RESIDENTIAL OR COMMERCIAL STRUCTURES.

OVER THE PAST FEW YEARS, HOWEVER, THE CITY HAS BEEN MUCH MORE INCLINED TO TACKLE THE LARGER BLIGHTED BUILDINGS WITH CDBG FUNDS. GIVEN THE ECONOMIC RESURGENCE THAT THE CITY HAS SEEN OVER THE LAST FIVE YEARS, THE PROPERTIES WITH THE FEWEST HURDLES TO REDEVELOP HAVE BEEN THE FIRST TO MARKET LEAVING THOSE PROPERTIES WITH MORE HURDLES TO STILL LANGUISH. AS A LAND-CONSTRAINED CITY UNABLE TO PUSH ITS BOUNDARIES INTO THE SURROUNDING SUBURBAN GREENFIELDS, CONTINUED ECONOMIC GROWTH WILL ONLY BE REALIZED IF THE CITY CONTINUES TO USE ITS FEDERAL ENTITLEMENT FUNDS TO ADDRESS BROWNFIELD PROPERTIES; THAT PRIORITY FOCUS WILL BE EVIDENT IN THIS 2020 – 2024 CONSOLIDATED PLAN.

ADDITIONALLY, THE LAST TIME THAT THE CITY OF UTICA CONDUCTED AN ANALYSIS OF IMPEDIMENTS TO FAIR HOUSING WAS IN A REGIONAL EFFORT WITH THE CITY OF ROME IN 2011. THE CITY IS ADDRESSING THIS HUD REQUIREMENT IN THE FIRST YEAR (2020 – 2021) OF THIS CONSOLIDATED PLAN. WHILE THE ANALYSIS WAS NOT ABLE TO BE COMPLETED IN TIME FOR INCORPORATION OF ITS DATA INTO THE PLAN, THE RECOMMENDATIONS WILL BE A FOCUS FOR THE CITY IN SUBSEQUENT YEARS OF THE 2020 – 2024 CONSOLIDATED PLAN.

4. SUMMARY OF CITIZEN PARTICIPATION PROCESS AND CONSULTATION PROCESS

IN DEVELOPING THIS 2020 – 2024 CONSOLIDATED PLAN, THE CITY OF UTICA UTILIZED SEVERAL DIFFERENT METHODS OF TRYING TO ELICIT PUBLIC OPINION INTO THE DRAFTING OF THE PLAN, INCLUDING:

NEIGHBORHOOD MEETINGS

- WEDNESDAY, JANUARY 29, 2020 AT 7:00 PM AT WEST SIDE SENIOR/COMMUNITY CENTER, 717 COURT STREET, HOSTED BY THE WEST UTICA CITIZENS FORUM
- MONDAY, FEBRUARY 3, 2020 AT 6:30 PM AT ST. MARY OF MT. CARMEL/BLESSED SACRAMENT, 648 JAY STREET, HOSTED BY THE EAST UTICA CONCERNED CITIZENS
- WEDNESDAY, FEBRUARY 12, 2020 AT 6:30 PM AT UNHS EMPOWERMENT CENTER, 230 JAMES STREET, HOSTED BY THE CORNHILL NEIGHBORHOOD ASSOCIATION

STAFF OF THE CITY'S DEPARTMENT OF URBAN & ECONOMIC DEVELOPMENT (U&ED) ATTENDED THE REGULAR MONTHLY NEIGHBORHOOD MEETINGS THAT COVER THE LARGEST OF THE CITY'S PRIMARILY LOW- TO MODERATE-INCOME RESIDENTIAL NEIGHBORHOODS. STAFF PROVIDE BACKGROUND ON THE VARIOUS ENTITLEMENT FUNDS THAT THE CITY RECEIVES ANNUALLY, THE ELIGIBLE ACTIVITIES THAT EACH FUNDS AND HOW THE CITY HAS GENERALLY SPENT THE FUNDS IN THE CURRENT YEAR. THEY THEN PROVIDE ATTENDEES WITH AN OPPORTUNITY TO PROVIDE INPUT INTO HOW THE FUNDS SHOULD BE SPENT OR PRIORITIZED IN THE UPCOMING PROGRAM YEAR. IN THIS YEAR'S CASE, STAFF ALSO ENCOURAGED ATTENDEES TO WEIGH IN ON PRIORITIES FOR THE FIVE-YEAR CONSOLIDATED PLAN.

AGENCY MEETINGS

U&ED STAFF MEET ON A CONTINUAL BASIS WITH HOUSING, SOCIAL SERVICE AGENCIES AND THE CONTINUUM OF CARE TO PROVIDE TECHNICAL ASSISTANCE AND RECEIVE INPUT ON A VARIETY OF ISSUES.

NOT-FOR-PROFIT FUNDING APPLICATIONS

THE CITY OF UTICA OPENED A CALL FOR PROPOSALS FOR FUNDING THROUGH THE CITY'S ANNUAL CDBG ENTITLEMENT PROGRAM FOR THE 2020-2021 PROGRAM YEAR. THE CITY PUBLISHED A NOTICE OF FUNDING AVAILABILITY ALONG WITH INFORMATION ON THE NEIGHBORHOOD MEETINGS IN THE OBSERVER DISPATCH, THE CITY'S OFFICIAL NEWSPAPER. THE APPLICATION WINDOW WAS OPEN FOR FOUR WEEKS.

PUBLIC SURVEY

FOR THE FIRST TIME AS PART OF THE CONSOLIDATED PLAN OR ANNUAL ACTION PLAN PROCESS, THE CITY OF UTICA USED AN ONLINE SURVEY TO TRY TO ELICIT PUBLIC OPINION. UTILIZING THE SURVEY MONKEY PLATFORM, THE CITY DEVELOPED AN EIGHT QUESTION SURVEY THAT GARNERED A TOTAL OF 55 RESPONSES.

FINAL OPPORTUNITY FOR COMMENT

IN ACCORDANCE WITH ITS CITIZEN PARTICIPATION PLAN, THE CITY OF UTICA PUBLISHED A LEGAL NOTICE IN THE OFFICIAL NEWSPAPER THIRTY DAYS PRIOR TO SUBMISSION OF THE CONSOLIDATED PLAN/ANNUAL ACTION PLAN TO HUD THAT PROVIDED A FINAL OPPORTUNITY FOR THE PUBLIC TO REVIEW THE DRAFT PLAN AND TO PROVIDE COMMENT ON THE DRAFT.

5. SUMMARY OF PUBLIC COMMENTS

THERE WERE NO PUBLIC COMMENTS SUBMITTED PURSUANT TO THE LEGAL NOTICE PUBLISHED IN THE CITY'S OFFICIAL NEWSPAPER AHEAD OF THE DEADLINE FOR THE CITY'S SUBMISSION OF THE PLAN TO HUD.

6. SUMMARY OF COMMENTS OR VIEWS NOT ACCEPTED AND THE REASONS FOR NOT ACCEPTING THEM

NOT APPLICABLE

7. SUMMARY

FOLLOWING DECADES OF DISINVESTMENT AND POPULATION LOSS, THE CITY OF UTICA HAS TURNED THE CORNER ECONOMICALLY. ONCE SHUNNED BY RETAIL AND RESIDENTS ALIKE, DOWNTOWN UTICA IS NOW ON ITS WAY TO BECOMING A NEIGHBORHOOD WITH VITALITY BEYOND THE TRADITIONAL MONDAY THRU FRIDAY, 9 AM TO 5 PM HOURS. PROPERTIES THAT STOOD VACANT AND ABANDONED ARE BECOMING VALUABLE AGAIN FOR THE REDEVELOPMENT POTENTIAL.

PROJECTS LIKE THE BILLION-DOLLAR CONSTRUCTION OF A SILICON CARBIDE WAFER PLANT IN MARCY, A UTICA SUBURB, THE HALF A BILLION-DOLLAR NEW INTEGRATED HEALTH CARE CAMPUS IN DOWNTOWN UTICA AND THE \$42 MILLION NEXUS CENTER ACROSS THE STREET FROM THE NEW HOSPITAL ALL HAVE THE POTENTIAL TO FOREVER CHANGE THE SKYLINE – AND THE LANDSCAPE - OF THE CITY OF UTICA. THE ATTACHED CONSOLIDATED PLAN AIMS TO PREPARE THE CITY FOR THIS METAMORPHOSIS AND TO PROTECT ITS LOW- AND MODERATE-INCOME RESIDENTS FROM ANY GENTRIFICATION THAT MIGHT OCCUR AS A RESULT.

THE PROCESS

PR-05 LEAD & RESPONSIBLE AGENCIES 24 CFR 91.200(b)

1. DESCRIBE AGENCY/ENTITY RESPONSIBLE FOR PREPARING THE CONSOLIDATED PLAN AND THOSE RESPONSIBLE FOR ADMINISTRATION OF EACH GRANT PROGRAM AND FUNDING SOURCE

THE FOLLOWING ARE THE AGENCIES/ENTITIES RESPONSIBLE FOR PREPARING THE CONSOLIDATED PLAN AND THOSE RESPONSIBLE FOR ADMINISTRATION OF EACH GRANT PROGRAM AND FUNDING SOURCE.

| AGENCY ROLE | NAME | DEPARTMENT/AGENCY |
|-------------|------|-------------------|
| | | |

| | | |
|--------------------|-------|----------------------------------------------|
| | | |
| CDBG ADMINISTRATOR | UTICA | DEPARTMENT OF URBAN AND ECONOMIC DEVELOPMENT |
| HOME ADMINISTRATOR | UTICA | DEPARTMENT OF URBAN AND ECONOMIC DEVELOPMENT |
| ESG ADMINISTRATOR | UTICA | DEPARTMENT OF URBAN AND ECONOMIC DEVELOPMENT |

TABLE 1 – RESPONSIBLE AGENCIES

NARRATIVE

UTICA'S DEPARTMENT OF URBAN AND ECONOMIC DEVELOPMENT (UED), IN CONSULTATION WITH OTHER CITY DEPARTMENTS, INCLUDING PARKS AND RECREATION, ENGINEERING, CODE ENFORCEMENT, AND THE MAYOR'S OFFICE ARE RESPONSIBLE FOR DEVELOPING THE 2020-2024 CONSOLIDATED PLAN AND 2020 ANNUAL ACTION PLAN AND FOR ADMINISTERING CDBG, HOME AND ESG GRANT ACTIVITY AND FUNDING. UED IS ALSO RESPONSIBLE FOR DEVELOPING THE CONSOLIDATED ANNUAL EVALUATION REPORTS (CAPER), PROCESSING PAY REQUESTS, PERFORMING CONTRACTING, AND ALL OVERSIGHT OF THE PROGRAMS ON A DAILY BASIS.

UED HAS A HIGHLY CAPABLE AND EXPERIENCED STAFF OF EIGHT (8) EMPLOYEES. LED BY COMMISSIONER BRIAN THOMAS, WHO HAS NEARLY THIRTY YEARS OF LOCAL GOVERNMENT EXPERIENCE IN THE UTICA-ROME REGION WORKING WITH FEDERAL ENTITLEMENT FUNDS, THE DEPARTMENT HAS ITS OWN FINANCE ADMINISTRATOR, A PRINCIPAL PLANNER, THREE SPECIALISTS WITH ONE EACH IN ECONOMIC DEVELOPMENT, HOUSING AND COMMUNITY DEVELOPMENT, A SECRETARY AND A SENIOR ADMINISTRATIVE AIDE.

CONSOLIDATED PLAN PUBLIC CONTACT INFORMATION

QUESTIONS OR COMMENTS REGARDING THE 2029-2024 CONSOLIDATED PLAN OR THE 2020 ANNUAL ACTION PLAN SHOULD BE DIRECTED TO:

BRIAN THOMAS, AICP - COMMISSIONER OF URBAN & ECONOMIC DEVELOPMENT

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PR-10 CONSULTATION – 91.100, 91.110, 91.200(B), 91.300(B), 91.215(I) AND 91.315(I)

1. INTRODUCTION

ALL ASPECTS OF THE COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG), HOME INVESTMENT PARTNERSHIP, EMERGENCY SOLUTIONS GRANT PROGRAM AND OTHERS, IF APPLICABLE, ARE CONDUCTED IN AN OPEN MANNER WITH FREEDOM OF ACCESS FOR ALL INTERESTED PERSONS, GROUPS, AND/OR ORGANIZATIONS. THE CITY HAS ALSO MADE EFFORTS TO INCLUDE MINORITIES AND NON-ENGLISH SPEAKING PERSONS, PERSONS WITH DISABILITIES, LOCAL AND REGIONAL INSTITUTIONS, THE MOHAWK VALLEY HOUSING AND HOMELESS COALITION (THE AREA’S CONTINUUM OF CARE) AND OTHER ORGANIZATIONS (INCLUDING BUSINESSES, DEVELOPERS, NONPROFIT ORGANIZATIONS, PHILANTHROPIC ORGANIZATIONS, COMMUNITY AND FAITH-BASED ORGANIZATIONS) IN THE PROCESS OF DEVELOPING AND IMPLEMENTING THE ANNUAL PLAN.

PROVIDE A CONCISE SUMMARY OF THE JURISDICTION’S ACTIVITIES TO ENHANCE COORDINATION BETWEEN PUBLIC AND ASSISTED HOUSING PROVIDERS AND PRIVATE AND GOVERNMENTAL HEALTH, MENTAL HEALTH AND SERVICE AGENCIES (91.215(I)).

THE CITY ALSO ENCOURAGES THE PARTICIPATION OF RESIDENTS OF PUBLIC AND ASSISTED HOUSING DEVELOPMENTS AND RECIPIENTS OF TENANT-BASED ASSISTANCE IN THE PROCESS OF DEVELOPING AND IMPLEMENTING THE ANNUAL ACTION PLAN AND FIVE YEAR CONSOLIDATED PLAN, ALONG WITH OTHER LOW-INCOME RESIDENTS OF TARGETED REVITALIZATION AREAS IN WHICH THE DEVELOPMENTS ARE LOCATED. THE CITY HAS PROVIDED INFORMATION TO THE UTICA MUNICIPAL HOUSING AUTHORITY ABOUT ANNUAL ACTION PLAN ACTIVITIES SO THAT THEY CAN MAKE THAT INFORMATION AVAILABLE AT THEIR OWN ANNUAL PUBLIC MEETINGS REQUIRED A PART OF THE PROCESS OF DRAFTING THE PUBLIC HOUSING AGENCY PLAN. IN THE 2019-2020 YEAR, THE CITY OF UTICA HAS PARTNERED WITH A VARIETY OF COMMITTEES DEDICATED TO ADDRESSING THE HOUSING NEEDS FACING ITS CITIZENS, INCLUDING THE SHORTAGE OF AFFORDABLE AND SUSTAINABLE HOUSING, THE LARGE QUANTITY OF AVAILABLE HOUSING STOCK THAT IS CONTAMINATED WITH LEAD, ASBESTOS AND OTHER ENVIRONMENTAL HEALTH HAZARDS, AND GETTING INFORMATION TO RESIDENTS ON HOW TO RECOGNIZE AND ADDRESS CONTAMINANTS IN THEIR LIVING ENVIRONMENTS. THESE PARTNERSHIPS INCLUDE, BUT ARE NOT LIMITED TO, THE COMMUNITY FOUNDATION OF HERKIMER AND ONEIDA COUNTIES, THE LEAD-FREE MOHAWK VALLEY COALITION, THE UTICA HOUSING ACTION COMMITTEE, AND TWO CERTIFIED CHDOs, ALL SHARING THE SAME GOALS. IN 2019, MAYOR PALMIERI ALSO ESTABLISHED A TASK FORCE AIMED AT MONITORING THE LIVING CONDITIONS IN MULTIFAMILY RENTAL HOUSING FOR QUALITY OF LIFE IN RESPONSE TO LANDLORDS FAILING TO PROVIDE SAFE, SUSTAINABLE HOUSING FOR THEIR RESIDENTS. IN ADDITION, THE CITY AND THE UNITED WAY PARTNERED WITH A VARIETY OF AGENCIES TO DEVELOP STRATEGIC PLANS OF ACTION SHOULD ONE OF THESE BUILDINGS BE SHUT DOWN. IN EARLY 2019, THE CITY AND ITS PARTNERS RECEIVED A HUD LEAD-ABATEMENT GRANT OF \$3.5MILLION TO TREAT AND ABATE LEAD CONTAMINATION IN 180 HOUSING UNITS IN THE CITY OF UTICA CONSTRUCTED PRIOR TO 1978. AS PART OF THIS GRANT, THE CITY’S HOUSING DEVELOPMENT SPECIALIST BECAME AN EPA-CERTIFIED LEAD SUPERVISOR TO BETTER ASSIST WITH MANAGING THE COMPLEX REGULATIONS.

DESCRIBE COORDINATION WITH THE CONTINUUM OF CARE AND EFFORTS TO ADDRESS THE NEEDS OF HOMELESS PERSONS (PARTICULARLY CHRONICALLY HOMELESS INDIVIDUALS AND FAMILIES, FAMILIES WITH CHILDREN, VETERANS, AND UNACCOMPANIED YOUTH) AND PERSONS AT RISK OF HOMELESSNESS

THE CITY OF UTICA HAS BEEN A KEY PARTNER IN THE UTICA, ROME, ONEIDA AND MADISON COUNTIES CONTINUUM OF CARE (CoC) SINCE ITS INCEPTION IN 2003. THE CITY SERVES ON THE CoC BOARD WHICH MEETS EACH QUARTER, AND PARTICIPATES IN THE CoC PLENARY MEETINGS HELD EIGHT TIMES EACH YEAR. LIKE MOST VERY SMALL CITIES IN THE NATION, THE CoC BOARD AND MEMBERSHIP COORDINATE THE CoC PLANNING AND DRIVE PROJECT DEVELOPMENT TO FILL GAPS IN

THE CONTINUUM OF CARE. THE CoC AND THE CITY COORDINATE CLOSELY REGARDING REGULATORY COMPLIANCE, MONITORING AND PROJECT SITE SELECTION.

THE CITY OF UTICA WORKS CLOSELY WITH THE CoC TO ADDRESS THE NEEDS OF HOMELESS PERSONS IN OUR COMMUNITY. THROUGH OUR RANK AND REVIEW PROCESS, THE RANKING COMMITTEE OF THE CONTINUUM BOARD DECIDED TO FUND THE FOLLOWING PROGRAMS WHICH SERVE CHRONICALLY HOMELESS INDIVIDUALS AND FAMILIES, FAMILIES WITH CHILDREN, VETERANS, AND UNACCOMPANIED YOUTH:

CITY OF UTICA ESG FY2020 AWARDS WERE DECIDED ON WEDNESDAY, MARCH 18, 2020, AND RECIPIENTS WILL BE NOTIFIED FOLLOWING SUBMISSION AND APPROVAL OF THE CONSOLIDATED PLAN.

APPLICANTS INCLUDE:

- ICAN (RAPID REHOUSING)
- JOHNSON PARK CENTER (SHELTER)
- PATTY-ROY FOUNDATION (SHELTER)
- RESCUE MISSION OF UTICA (SHELTER)
- UTICA MUNICIPAL HOUSING AUTHORITY (HOMELESS STREET OUTREACH / RAPID REHOUSING)
- UTICA CENTER FOR DEVELOPMENT (HOMELESSNESS PREVENTION / RAPID REHOUSING)
- YWCA HALL HOUSE (SHELTER)

DESCRIBE CONSULTATION WITH THE CONTINUUM(S) OF CARE THAT SERVES THE JURISDICTION'S AREA IN DETERMINING HOW TO ALLOCATE ESG FUNDS, DEVELOP PERFORMANCE STANDARDS AND EVALUATE OUTCOMES, AND DEVELOP FUNDING, POLICIES AND PROCEDURES FOR THE ADMINISTRATION OF HMIS

THE CITY'S PROCESS FOR MAKING SUB-AWARDS WAS AS FOLLOWS:

THIS YEAR, THE CITY RELEASED A REQUEST FOR PROPOSALS (RFP) IN MID-JANUARY. THREE PUBLIC MEETINGS FOR INPUT FROM THE COMMUNITY AND POTENTIAL ESG SUB-RECIPIENTS WERE HELD:

1. JANUARY 29TH AT THE WEST SIDE SENIOR CENTER IN WEST UTICA
2. FEBRUARY 3RD AT THE MOUNT CARMEL SCHOOL SALERNO ROOM IN EAST UTICA
3. FEBRUARY 12TH AT THE UNHS EMPOWERMENT CENTER IN CORNHILL

APPLICATIONS WERE DUE ON FEBRUARY 21ST. IN ALL, WE RECEIVED NINE (9) APPLICATIONS FROM 7 DIFFERENT AGENCIES.

THE FOLLOWING CRITERIA WERE DEVELOPED BY THE CoC STEERING COMMITTEE:

FINANCE & SUPPORTING DOCUMENTS (15 POINTS)

- DISPLAYED SECURE STATUS OF ASSETS AND LACK OF LIABILITIES.
- ATTACHED CERTIFICATE OF INCORPORATION, MISSION IN BY-LAWS, ORGANIZATIONAL CHART AND IRS LETTER.
- ATTACHED ANTICIPATED BUDGET FOR THE PROPOSED ACTIVITY.

ACTIVITY PROPOSAL (25 POINTS)

- PROVIDED A DETAILED DESCRIPTION OF THE PROPOSED ACTIVITY.
 - ARTICULATED THE NEED TO BE ADDRESSED BY THE ACTIVITY.
- EFFECTIVELY ADDRESSED THE ACTIVITY'S CONTRIBUTION TO COMMUNITY NEED IDENTIFIED IN CITY'S PLAN.
 - DETAILED THE ANTICIPATED GOALS OF THE ACTIVITY.
- SUBSTANTIATED THE REASONS FOR SUPPORTING CONTINUED FUNDING.

ORGANIZATIONAL INFORMATION (35 POINTS)

- DESCRIBED A PLAN TO ENSURE SUSTAINABILITY.
 - CITED RELEVANT PERSONNEL.
 - PROVIDED A LIST OF BOARD MEMBERS.
 - IDENTIFIED POSSIBLE CONFLICTS OF INTEREST.
- COMMUNICATED ABILITY AND QUALIFICATIONS TO IMPLEMENT ACTIVITY.
 - DESCRIBED ACTIONS TO BE TAKEN IF FUNDING FALLS THROUGH.

COMMUNITY PARTNERSHIPS & PROGRAM INTEGRATION (25 POINTS)

- AGENCY WAS ABLE TO INDICATE THEY ARE AN ACTIVE MEMBER OF THE MVHHAC/CoC.
- INDICATED LENGTH AND FREQUENCY OF INVOLVEMENT IN CoC.
- EXPLAINED THE RELEVANCE OF THE PROPOSAL TO ESG OBJECTIVES AND CoC PRIORITIES.
- ARTICULATE THE RELEVANCE OF THE PROPOSAL TO EXISTING HUD CoC PROGRAMS.

SEVERAL MEMBERS OF THE CoC BOARD RANKS EACH OF THE APPLICATIONS SEPARATELY, AND THEN MEETS TO COMPARE & DISCUSS THEIR SCORES. MEMBERS INVOLVED ARE STEVE DARMAN - MV HOUSING AND HOMELESS COALITION, MICHAEL PEEK - CITY OF UTICA, THE HUD COLLABORATIVE APPLICANT REPRESENTATIVE (ROBIN ROBINSON OR BETTY JOAN BEAUDRY FROM UNITED WAY OF THE VALLEY AND GREATER UTICA), AND UP TO TWO ADDITIONAL MEMBERS OF THE CoC WHO ARE FAMILIAR WITH HOMELESS ASSISTANCE, PROGRAMS AND PROVIDERS WHO ARE NOT APPLYING FOR ANY ESG FUNDS THEMSELVES (TO ELIMINATE ANY POTENTIAL CONFLICT OF INTEREST).

2. DESCRIBE AGENCIES, GROUPS, ORGANIZATIONS AND OTHERS WHO PARTICIPATED IN THE PROCESS AND DESCRIBE THE JURISDICTIONS CONSULTATIONS WITH HOUSING, SOCIAL SERVICE AGENCIES AND OTHER ENTITIES

TABLE 2 – AGENCIES, GROUPS, ORGANIZATIONS WHO PARTICIPATED

| | | |
|---|-----------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | AGENCY/GROUP/ORGANIZATION | UNITED WAY OF THE VALLEY AND GREATER UTICA AREA |
| | AGENCY/GROUP/ORGANIZATION TYPE | PLANNING ORGANIZATION FOUNDATION |
| | WHAT SECTION OF THE PLAN WAS ADDRESSED BY CONSULTATION? | HOMELESSNESS STRATEGY HOMELESS NEEDS - CHRONICALLY HOMELESS HOMELESS NEEDS - FAMILIES WITH CHILDREN HOMELESSNESS NEEDS - VETERANS HOMELESSNESS NEEDS - UNACCOMPANIED YOUTH |
| | HOW WAS THE AGENCY/GROUP/ORGANIZATION CONSULTED AND WHAT ARE THE ANTICIPATED OUTCOMES OF THE CONSULTATION OR AREAS FOR IMPROVED COORDINATION? | ROBIN ROBINSON OF THE UNITED WAY WAS ONE OF FOUR CONTINUUM OF CARE MEMBERS TO ASSIST IN DEVELOPING NEW RANK AND REVIEW CRITERIA AS WELL AS TO SCORE ESG APPLICATIONS RECEIVED BY THE CITY OF UTICA. |
| 2 | AGENCY/GROUP/ORGANIZATION | PETER MAURIN HOUSE, INC. DBA HOPE HOUSE |
| | AGENCY/GROUP/ORGANIZATION TYPE | SERVICES-HOMELESS |
| | WHAT SECTION OF THE PLAN WAS ADDRESSED BY CONSULTATION? | HOMELESSNESS STRATEGY HOMELESS NEEDS - CHRONICALLY HOMELESS HOMELESS NEEDS - FAMILIES WITH CHILDREN HOMELESSNESS NEEDS - VETERANS HOMELESSNESS NEEDS - UNACCOMPANIED YOUTH |
| | HOW WAS THE AGENCY/GROUP/ORGANIZATION CONSULTED AND WHAT ARE THE ANTICIPATED OUTCOMES OF THE CONSULTATION OR AREAS FOR IMPROVED COORDINATION? | TOM LABAYEWSKI OF THE HOPE HOUSE IS TYPICALLY ONE OF FOUR CONTINUUM OF CARE MEMBERS TO ASSIST IN DEVELOPING NEW RANK AND REVIEW CRITERIA AS WELL AS TO SCORE ESG APPLICATIONS RECEIVED BY THE CITY OF UTICA, THOUGH HE WAS UNAVAILABLE FOR WORK ON THE 2020-2021 SCORING COMMITTEE. |
| 3 | AGENCY/GROUP/ORGANIZATION | SOCIAL SCIENCE ASSOCIATES |
| | AGENCY/GROUP/ORGANIZATION TYPE | PLANNING ORGANIZATION |
| | WHAT SECTION OF THE PLAN WAS ADDRESSED BY CONSULTATION? | HOMELESSNESS STRATEGY HOMELESS NEEDS - CHRONICALLY HOMELESS HOMELESS NEEDS - FAMILIES WITH CHILDREN HOMELESSNESS NEEDS - VETERANS HOMELESSNESS NEEDS - UNACCOMPANIED YOUTH |
| | HOW WAS THE AGENCY/GROUP/ORGANIZATION CONSULTED AND WHAT ARE THE ANTICIPATED OUTCOMES OF THE CONSULTATION OR AREAS FOR IMPROVED COORDINATION? | STEVE DARMAN OF SOCIAL SCIENCE ASSOCIATES WAS ONE OF FOUR CONTINUUM OF CARE MEMBERS TO ASSIST IN DEVELOPING NEW RANK AND REVIEW CRITERIA AS WELL AS TO SCORE ESG APPLICATIONS RECEIVED BY THE CITY OF UTICA. |
| 4 | AGENCY/GROUP/ORGANIZATION | CITY OF UTICA |
| | AGENCY/GROUP/ORGANIZATION TYPE | OTHER GOVERNMENT - LOCAL |

| | | |
|---|-----------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | WHAT SECTION OF THE PLAN WAS ADDRESSED BY CONSULTATION? | HOMELESSNESS STRATEGY HOMELESS NEEDS - CHRONICALLY HOMELESS HOMELESS NEEDS - FAMILIES WITH CHILDREN HOMELESSNESS NEEDS - VETERANS HOMELESSNESS NEEDS - UNACCOMPANIED YOUTH |
| | HOW WAS THE AGENCY/GROUP/ORGANIZATION CONSULTED AND WHAT ARE THE ANTICIPATED OUTCOMES OF THE CONSULTATION OR AREAS FOR IMPROVED COORDINATION? | MICHAEL PEEK OF THE CITY OF UTICA DEPARTMENT OF URBAN AND ECONOMIC DEVELOPMENT, WAS ONE OF FOUR CONTINUUM OF CARE MEMBERS TO ASSIST IN SCORING ESG APPLICATIONS RECEIVED BY THE CITY OF UTICA. |
| 5 | AGENCY/GROUP/ORGANIZATION | ONEIDA COUNTY |
| | AGENCY/GROUP/ORGANIZATION TYPE | OTHER GOVERNMENT - COUNTY |
| | WHAT SECTION OF THE PLAN WAS ADDRESSED BY CONSULTATION? | HOUSING NEED ASSESSMENT LEAD-BASED PAINT STRATEGY NON-HOMELESS SPECIAL NEEDS MARKET ANALYSIS |
| | HOW WAS THE AGENCY/GROUP/ORGANIZATION CONSULTED AND WHAT ARE THE ANTICIPATED OUTCOMES OF THE CONSULTATION OR AREAS FOR IMPROVED COORDINATION? | |
| 6 | AGENCY/GROUP/ORGANIZATION | UTICA MUNICIPAL HOUSING AUTHORITY |
| | AGENCY/GROUP/ORGANIZATION TYPE | HOUSING PHA SERVICES - HOUSING |
| | WHAT SECTION OF THE PLAN WAS ADDRESSED BY CONSULTATION? | HOUSING NEED ASSESSMENT PUBLIC HOUSING NEEDS NON-HOMELESS SPECIAL NEEDS MARKET ANALYSIS ANTI-POVERTY STRATEGY |
| | HOW WAS THE AGENCY/GROUP/ORGANIZATION CONSULTED AND WHAT ARE THE ANTICIPATED OUTCOMES OF THE CONSULTATION OR AREAS FOR IMPROVED COORDINATION? | THIS ORGANIZATION WAS CONSULTED AT LENGTH WITH REGARD TO THE NEEDS OF PUBLIC HOUSING, THEY WERE PART OF THE HOUSING ROUNDTABLE FOR THE 2015 COMMUNITY NEEDS ASSESSMENT AND THEY WERE REGULARLY CONSULTED DURING THE WRITING OF THE CONSOLIDATED PLAN. THE STAFF OF THE UTICA MUNICIPAL HOUSING AUTHORITY HAS ANNUALLY PROVIDED THE STAFF OF THE CITY DEPARTMENT OF URBAN & ECONOMIC DEVELOPMENT WITH A COPY OF THEIR ANNUAL PLAN FOR TO INCORPORATE AS NECESSARY INTO THE CITY'S ANNUAL ACTION PLAN. THE DATA PROVIDED FOR THE 2020 ANNUAL ACTION PLAN WAS PROVIDED BY THE UMHA IN EARLY 2020. |
| 7 | AGENCY/GROUP/ORGANIZATION | PARKWAY SENIOR CENTER |
| | AGENCY/GROUP/ORGANIZATION TYPE | SERVICES-ELDERLY PERSONS SERVICES-HEALTH |

| | | |
|---|-----------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | WHAT SECTION OF THE PLAN WAS ADDRESSED BY CONSULTATION? | NON-HOMELESS SPECIAL NEEDS |
| | HOW WAS THE AGENCY/GROUP/ORGANIZATION CONSULTED AND WHAT ARE THE ANTICIPATED OUTCOMES OF THE CONSULTATION OR AREAS FOR IMPROVED COORDINATION? | THIS ORGANIZATION WAS CONSULTED WITH REGARD TO THE NEEDS OF THE ELDERLY AS PART OF THE CONSOLIDATED PLAN. |
| 8 | AGENCY/GROUP/ORGANIZATION | JOHNSON PARK CENTER |
| | AGENCY/GROUP/ORGANIZATION TYPE | HOUSING SERVICES - HOUSING SERVICES-CHILDREN SERVICES-VICTIMS OF DOMESTIC VIOLENCE SERVICES-HOMELESS SERVICES - VICTIMS |
| | WHAT SECTION OF THE PLAN WAS ADDRESSED BY CONSULTATION? | HOUSING NEED ASSESSMENT HOMELESSNESS STRATEGY HOMELESS NEEDS - CHRONICALLY HOMELESS HOMELESS NEEDS - FAMILIES WITH CHILDREN NON-HOMELESS SPECIAL NEEDS ANTI-POVERTY STRATEGY |
| | HOW WAS THE AGENCY/GROUP/ORGANIZATION CONSULTED AND WHAT ARE THE ANTICIPATED OUTCOMES OF THE CONSULTATION OR AREAS FOR IMPROVED COORDINATION? | THIS ORGANIZATION WAS CONSULTED AS PART OF THE THE CDBG APPLICATION PROCESS |
| 9 | AGENCY/GROUP/ORGANIZATION | UNHS NEIGHBORWORKS HOMEOWNERSHIP CENTER |
| | AGENCY/GROUP/ORGANIZATION TYPE | HOUSING SERVICES - HOUSING |
| | WHAT SECTION OF THE PLAN WAS ADDRESSED BY CONSULTATION? | HOUSING NEED ASSESSMENT LEAD-BASED PAINT STRATEGY NON-HOMELESS SPECIAL NEEDS MARKET ANALYSIS ANTI-POVERTY STRATEGY |
| | HOW WAS THE AGENCY/GROUP/ORGANIZATION CONSULTED AND WHAT ARE THE ANTICIPATED OUTCOMES OF THE CONSULTATION OR AREAS FOR IMPROVED COORDINATION? | THIS ORGANIZATION WAS CONSULTED AS PART OF THE CDBG APPLICATION PROCESS AND THE HOME PROGRAM ALLOCATIONS. |

IDENTIFY ANY AGENCY TYPES NOT CONSULTED AND PROVIDE RATIONALE FOR NOT CONSULTING

NO AGENCY WAS KNOWINGLY NOT CONSULTED.

OTHER LOCAL/REGIONAL/STATE/FEDERAL PLANNING EFFORTS CONSIDERED WHEN PREPARING THE PLAN

| NAME OF PLAN | LEAD ORGANIZATION | HOW DO THE GOALS OF YOUR STRATEGIC PLAN OVERLAP WITH THE GOALS OF EACH PLAN? |
|-------------------|---------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CONTINUUM OF CARE | UTICA/ROME/ONEIDA/MADISON CONTINUUM OF CARE | THE HOMELESSNESS RELATED GOALS WERE DEVELOPED IN CONSULTATION WITH THE CoC AND ARE CLEARLY IN LINE WITH EACH OTHER WITH REGARD TO THE NEED FOR SERVICES AND ASSISTANCE FOR HOMELESS PERSONS |

TABLE 3 – OTHER LOCAL / REGIONAL / FEDERAL PLANNING EFFORTS

DESCRIBE COOPERATION AND COORDINATION WITH OTHER PUBLIC ENTITIES, INCLUDING THE STATE AND ANY ADJACENT UNITS OF GENERAL LOCAL GOVERNMENT, IN THE IMPLEMENTATION OF THE CONSOLIDATED PLAN (91.215(l))

THE MOHAWK VALLEY HOUSING & HOMELESS COALITION ANNUALLY PROVIDES INPUT AND RECOMMENDATIONS INTO THE MANNER BY WHICH THE CITY EMERGENCY SOLUTIONS GRANT SHOULD BE ALLOCATED TO THE VARIOUS SERVICE/HOUSING PROVIDERS. THE SCORING COMMITTEE FOR THE 2020-2021 PROGRAM YEAR INCLUDED THE MOHAWK VALLEY HOUSING AND HOMELESS COALITION CHAIR, THE CITY OF UTICA’S HOUSING DEVELOPMENT SPECIALIST, A MEMBER OF THE ONEIDA COUNTY DEPARTMENT OF SOCIAL SERVICES, AND A CONTINUUM OF CARE BOARD MEMBER THAT IS NOT RECEIVING ESG FUNDING AND IS FAMILIAR WITH HOMELESS ASSISTANCE NEEDS AND PROGRAMS.

NARRATIVE (OPTIONAL):

PR-15 CITIZEN PARTICIPATION – 91.105, 91.115, 91.200(c) AND 91.300(c)

1. SUMMARY OF CITIZEN PARTICIPATION PROCESS/EFFORTS MADE TO BROADEN CITIZEN PARTICIPATION
SUMMARIZE CITIZEN PARTICIPATION PROCESS AND HOW IT IMPACTED GOAL-SETTING

CITIZENS ARE INVITED TO SUBMIT PUBLIC COMMENTS IN RESPONSE TO PUBLICATION OF MEETING ANNOUNCEMENTS, FUNDING AMOUNTS AND CITY GOALS. AS PART OF THE ANNUAL PROCESS, SEVERAL MEETINGS ARE HELD WITHIN THE CDBG TARGET NEIGHBORHOODS TO ANNOUNCE THE AVAILABILITY OF FUNDS, SOLICIT RESIDENT CONCERNS FOR HOW THE FUNDS SHOULD BE SPENT, AND DISCUSS THE NEEDS OF THOSE TARGET AREAS AND OTHER CITY NEIGHBORHOODS. BASED ON PUBLIC RESPONSE, AREAS OF FOCUS MAY BE GIVEN ADDITIONAL ATTENTION WHEN SETTING AND BETTER FOCUSING GOALS.

FOR THE ESG-CV SUBSTANTIAL AMENDMENT, THE CITY POSTED A NOTICE TO THE CITY'S WEBSITE NEARLY 1 FULL WEEK AHEAD OF SUBMISSION OF THE AMENDMENT TO HUD THROUGH IDIS. THE NOTICE, ATTACHED AS AN APPENDIX TO THIS CONSOLIDATED PLAN, DETAILED THE CITY'S CONSULTATION PROCESS, THE VARIOUS ACTIVITIES PROPOSED FOR FUNDING AND THE AMOUNT OF FUNDING ALLOCATED TO EACH ACTIVITY.

FOR THE CDBG-CV I SUBSTANTIAL AMENDMENT, THE CITY POSTED A NOTICE TO THE CITY'S WEBSITE SEVERAL WEEKS AHEAD OF SUBMISSION OF THE AMENDMENT TO HUD THROUGH IDIS. THE NOTICE, ATTACHED AS AN APPENDIX TO THIS CONSOLIDATED PLAN, DETAILED THE CITY'S CONSULTATION PROCESS, THE VARIOUS ACTIVITIES PROPOSED FOR FUNDING AND THE AMOUNT OF FUNDING ALLOCATED TO EACH ACTIVITY. IN ADDITION, A COPY OF THE SAME NOTICE WAS PUBLISHED AS A LEGAL NOTICE IN THE CITY'S OFFICIAL NEWSPAPER WHICH PROVIDED 5 DAYS PUBLIC COMMENT PERIOD PER THE CITY'S AMENDED CITIZEN PARTICIPATION PLAN; NO COMMENTS WERE RECEIVED.

FOR THE CDBG-CV III SUBSTANTIAL AMENDMENT, THE CITY POSTED A NOTICE TO THE CITY'S WEBSITE AHEAD OF SUBMISSION OF THE AMENDMENT TO HUD THROUGH IDIS. THE NOTICE, ATTACHED AS AN APPENDIX TO THIS CONSOLIDATED PLAN, DETAILED THE CITY'S CONSULTATION PROCESS, THE VARIOUS ACTIVITIES PROPOSED FOR FUNDING AND THE AMOUNT OF FUNDING ALLOCATED TO EACH ACTIVITY. IN ADDITION, A COPY OF THE SAME NOTICE WAS PUBLISHED AS A LEGAL NOTICE IN THE CITY'S OFFICIAL NEWSPAPER WHICH PROVIDED 5 DAYS PUBLIC COMMENT PERIOD PER THE CITY'S AMENDED CITIZEN PARTICIPATION PLAN; NO COMMENTS WERE RECEIVED.

FOR THE ESG-CV III SUBSTANTIAL AMENDMENT, THE CITY POSTED A NOTICE TO THE CITY'S WEBSITE NEARLY SEVERAL DAYS PRIOR TO THE SUBMISSION OF THE AMENDMENT TO HUD THROUGH IDIS. THE NOTICE, ATTACHED AS AN APPENDIX TO THIS CONSOLIDATED PLAN, DETAILED THE CITY'S CONSULTATION PROCESS, THE VARIOUS ACTIVITIES PROPOSED FOR FUNDING AND THE AMOUNT OF FUNDING ALLOCATED TO EACH ACTIVITY. NO COMMENTS HAVE BEEN RECEIVED AS A RESULT OF THE POSTING.

CITIZEN PARTICIPATION OUTREACH

| SORT ORDER | MODE OF OUTREACH | TARGET OF OUTREACH | SUMMARY OF RESPONSE/ATTENDANCE | SUMMARY OF COMMENTS RECEIVED | SUMMARY OF COMMENTS NOT ACCEPTED AND REASONS | URL (IF APPLICABLE) |
|-------------------|---------------------------------------------------------|------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|----------------------------|
| 1 | PUBLIC MEETING | NON-TARGETED/BROAD COMMUNITY | 3 MEETINGS HELD IN VARIOUS NEIGHBORHOODS THROUGHOUT THE CITY; ATTENDANCE VARIED DEPENDING ON LOCATION/SCHEDULE | COMMENTS FOCUSED ON POSSIBLE PRIORITIES FOR FEDERAL FUNDING; INFRASTRUCTURE AND JOB CREATION TOPPED THE LIST | NO COMMENTS DISCARDED; ALL COMMENTS WELCOMED | |
| 2 | POSTING OF SUBSTANTIAL AMENDMENT NOTICE TO CITY WEBPAGE | NON-TARGETED/BROAD COMMUNITY | WHILE THE CARES ACT DID NOT REQUIRE PUBLIC COMMENT FOR ESG-CV FUNDS, THE NOTICE POSTED TO THE CITY'S WEBSITE DID PROVIDE AN E-MAIL ADDRESS FOR ANYONE WISHING TO MAKE A COMMENT. TO DATE, NO COMMENTS HAVE BEEN RECEIVED. | NONE | NOT APPLICABLE | WWW.CITYOFUTICA.COM |
| 3 | NEWSPAPER AD | NON-TARGETED/BROAD COMMUNITY | NO PUBLIC COMMENTS WERE RECEIVED AS A RESULT OF THE PUBLICATION OF THE LEGAL NOTICE | | | |

TABLE 4 – CITIZEN PARTICIPATION OUTREACH

NEEDS ASSESSMENT

NA-05 OVERVIEW

NEEDS ASSESSMENT OVERVIEW

THE CITY OF UTICA IS CURRENTLY PARTNERED WITH THE CITY OF ROME AND CONTRACTING WITH WESTERN ECONOMIC SERVICES, LLC TO CONDUCT AN ANALYSIS OF IMPEDIMENTS TO FAIR HOUSING CHOICE TO PROVIDE DATA FOR THE 2020-2024 CONSOLIDATED PLAN. DATA THAT WILL BE INCLUDED IN THE SUBSEQUENT NA SECTIONS WILL BE INPUT AT THE TIME IN WHICH THE ANALYSIS IS COMPLETED. THE DESCRIPTION BELOW, TAKEN FROM THE 2015-2019 CONSOLIDATED PLAN, IS LIKELY TO CLOSELY MATCH THE EXPECTED OVERVIEW FOR THIS 2020-2024 CONSOLIDATED PLAN.

USING COMPREHENSIVE HOUSING AFFORDABILITY STRATEGY (CHAS) AND AMERICAN COMMUNITY SURVEY (ACS) DATA PROVIDED BY HUD, THE CITY CREATED A FRAMEWORK AND PROPOSED PROJECTS TO BE FUNDED BY ENTITLEMENT GRANT FUNDS. ADDITIONALLY NEED CONSIDERATIONS AND CONCERNS WERE DEVELOPED FROM THE COMMENTS AND DISCUSSION DERIVED FROM THE CITY'S GENERAL COMMUNITY AND YOUTH SURVEYS, THE MAYOR'S SWEEPS AND PUBLIC HEARINGS.

IN TERMS OF HOUSING, AFFORDABILITY WAS THE PRIMARY NEED IDENTIFIED. ALTHOUGH ACS AND CHAS DATA DOES NOT RECOGNIZE A SIGNIFICANT NEED WITH REGARD TO SUBSTANDARD HOUSING, BOTH DATA SOURCES IDENTIFIED SUBSTANDARD AS LACKING COMPLETE PLUMBING AND/OR KITCHEN FACILITIES. WHILE MOST HOUSING UNITS WITHIN THE CITY DO CONTAIN COMPLETE PLUMBING AND KITCHEN FACILITIES, MANY ARE FACING STRUCTURAL DETERIORATION AND AGING ESSENTIAL FACILITIES (ELECTRICAL, PLUMBING, AND HEATING FACILITIES), PROBLEMS WHICH DECREASE BOTH THE SAFETY AND AFFORDABILITY OF THE HOUSING UNITS. THIS CORRESPONDS WITH THE NEED FOR ADDITIONAL AND UPGRADED PUBLIC HOUSING UNITS.

WITH REGARD TO THE NEEDS ASSOCIATED WITH HOMELESSNESS, A NEED FOR INCREASED TRANSITIONAL HOUSING TO AID IN MOVING SHELTERED HOMELESS PERSONS INTO HOUSING AND CONTINUE TO DECREASE IN THE NUMBER OF UNSHELTERED PERSONS. ADDITIONALLY, THE PRIMARY CAUSE OF HOMELESSNESS WITHIN THE COMMUNITY IS THE HOUSING COST BURDEN CREATING A NEED TO DECREASE THE COST ASSOCIATED WITH HOUSING FOR HOMELESSNESS PREVENTION.

WITH REGARD TO SPECIAL NEEDS, THE CITY HAS IDENTIFIED NEEDS AMONGST ALL SPECIAL NEEDS ACROSS ALL SPECIAL NEEDS POPULATIONS FOR SUPPORTIVE HOUSING, JOB TRAINING, EDUCATION ACCESS AND SOCIAL SERVICE ACCESS. THESE NEEDS ARE BEING TAKEN INTO CONSIDERATION WHEN APPROVING NEW PROJECTS USING CDBG OR HOME DOLLARS.

WITH REGARD TO NON-HOUSING COMMUNITY THE CITY HAS IDENTIFIED THAT THERE IS MINIMAL NEED FOR IMPROVEMENTS TO PUBLIC FACILITIES, SUBSTANTIAL NEED FOR PUBLIC IMPROVEMENTS (PARTICULARLY STREETS, SIDEWALKS AND SEWER SYSTEMS) AND A NEED TO ENCOURAGE CONSOLIDATION OF PUBLIC SERVICES.

NA-10 HOUSING NEEDS ASSESSMENT - 24 CFR 91.205 (A,B,C)
SUMMARY OF HOUSING NEEDS

THE DATA IN THE FIELDS BELOW IS SOURCED FROM THE AMERICAN COMMUNITY SURVEY 2011-2015 AND HAS BEEN
 PROVIDED FOR USE IN THIS CONSOLIDATED PLAN BY HUD.

| DEMOGRAPHICS | BASE YEAR: 2009 | MOST RECENT YEAR: 2015 | % CHANGE |
|---------------|-----------------|------------------------|----------|
| POPULATION | 62,235 | 61,630 | -1% |
| HOUSEHOLDS | 24,181 | 23,620 | -2% |
| MEDIAN INCOME | \$31,090.00 | \$30,504.00 | -2% |

TABLE 5 - HOUSING NEEDS ASSESSMENT DEMOGRAPHICS

DATA SOURCE: 2005-2009 ACS (BASE YEAR), 2011-2015 ACS (MOST RECENT YEAR)

NUMBER OF HOUSEHOLDS TABLE

| | 0-30% HAMFI | >30-50% HAMFI | >50-80% HAMFI | >80-100% HAMFI | >100% HAMFI |
|----------------------------------------------------------------|----------------|------------------|------------------|-------------------|----------------|
| TOTAL HOUSEHOLDS | 5,830 | 4,270 | 4,350 | 2,160 | 7,015 |
| SMALL FAMILY HOUSEHOLDS | 2,050 | 1,430 | 1,330 | 870 | 3,115 |
| LARGE FAMILY HOUSEHOLDS | 515 | 475 | 425 | 220 | 480 |
| HOUSEHOLD CONTAINS AT LEAST ONE PERSON 62-74 YEARS OF AGE | 950 | 730 | 810 | 450 | 1,700 |
| HOUSEHOLD CONTAINS AT LEAST ONE PERSON AGE 75 OR OLDER | 635 | 765 | 765 | 320 | 660 |
| HOUSEHOLDS WITH ONE OR MORE CHILDREN 6 YEARS OLD OR YOUNGER | 1,370 | 850 | 615 | 380 | 525 |

TABLE 6 - TOTAL HOUSEHOLDS TABLE
 2011-2015 CHAS

DATA
 SOURCE:

HOUSING NEEDS SUMMARY TABLES

1. HOUSING PROBLEMS (HOUSEHOLDS WITH ONE OF THE LISTED NEEDS)

| | RENTER | | | | | OWNER | | | | |
|---------------------------------------------------------------------------------------|--------------|--------------------|--------------------|---------------------|-------|------------------|--------------------|--------------------|---------------------|-------|
| | 0-30% AMI | >30- 50% AMI | >50- 80% AMI | >80- 100% AMI | TOTAL | 0- 30% AMI | >30- 50% AMI | >50- 80% AMI | >80- 100% AMI | TOTAL |
| NUMBER OF HOUSEHOLDS | | | | | | | | | | |
| SUBSTANDARD HOUSING - LACKING COMPLETE PLUMBING OR KITCHEN FACILITIES | 50 | 30 | 20 | 0 | 100 | 15 | 0 | 4 | 10 | 29 |
| SEVERELY OVERCROWDED - WITH >1.51 PEOPLE PER ROOM (AND COMPLETE KITCHEN AND PLUMBING) | 35 | 30 | 35 | 25 | 125 | 4 | 15 | 4 | 0 | 23 |
| OVERCROWDED - WITH 1.01-1.5 PEOPLE PER ROOM (AND NONE OF THE ABOVE PROBLEMS) | 125 | 130 | 30 | 15 | 300 | 0 | 15 | 20 | 10 | 45 |
| HOUSING COST BURDEN GREATER THAN 50% OF INCOME (AND NONE OF THE ABOVE PROBLEMS) | 2,870 | 605 | 85 | 4 | 3,564 | 585 | 285 | 95 | 40 | 1,005 |
| HOUSING COST BURDEN GREATER THAN 30% OF INCOME (AND NONE OF THE ABOVE PROBLEMS) | 620 | 1,340 | 590 | 75 | 2,625 | 190 | 430 | 590 | 145 | 1,355 |

| | 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) | 330 | 0 | 0 | 0 | 330 | 75 | 0 | 0 | 0 | 75 |

TABLE 7 – HOUSING PROBLEMS TABLE

DATA
SOURCE:

2011-2015 CHAS

2. HOUSING PROBLEMS 2 (HOUSEHOLDS WITH ONE OR MORE SEVERE HOUSING PROBLEMS: LACKS KITCHEN OR COMPLETE PLUMBING, SEVERE OVERCROWDING, SEVERE COST BURDEN)

| | RENTER | | | | | OWNER | | | | |
|-----------------------------------------------------------------------|------------------|--------------------|--------------------|---------------------|-------|------------------|--------------------|--------------------|---------------------|-------|
| | 0- 30% AMI | >30- 50% AMI | >50- 80% AMI | >80- 100% AMI | TOTAL | 0- 30% AMI | >30- 50% AMI | >50- 80% AMI | >80- 100% AMI | TOTAL |
| NUMBER OF HOUSEHOLDS | | | | | | | | | | |
| HAVING 1 OR MORE OF FOUR HOUSING PROBLEMS | 3,085 | 795 | 170 | 45 | 4,095 | 610 | 315 | 120 | 60 | 1,105 |
| HAVING NONE OF FOUR HOUSING PROBLEMS | 1,440 | 2,110 | 2,090 | 925 | 6,565 | 290 | 1,055 | 1,975 | 1,125 | 4,445 |
| HOUSEHOLD HAS NEGATIVE INCOME, BUT NONE OF THE OTHER HOUSING PROBLEMS | 330 | 0 | 0 | 0 | 330 | 75 | 0 | 0 | 0 | 75 |

TABLE 8 – HOUSING PROBLEMS 2

DATA
SOURCE:

2011-2015 CHAS

3. COST BURDEN > 30%

| | RENTER | | | | OWNER | | | |
|-----------------------------|--------------|--------------------|--------------------|-------|--------------|--------------------|--------------------|-------|
| | 0-30% AMI | >30- 50% AMI | >50- 80% AMI | TOTAL | 0-30% AMI | >30- 50% AMI | >50- 80% AMI | TOTAL |
| NUMBER OF HOUSEHOLDS | | | | | | | | |
| SMALL RELATED | 1,590 | 885 | 275 | 2,750 | 140 | 165 | 305 | 610 |
| LARGE RELATED | 340 | 230 | 55 | 625 | 74 | 75 | 50 | 199 |

| | RENTER | | | | OWNER | | | |
|----------------------|-----------|-------------|-------------|-------|-----------|-------------|-------------|-------|
| | 0-30% AMI | >30-50% AMI | >50-80% AMI | TOTAL | 0-30% AMI | >30-50% AMI | >50-80% AMI | TOTAL |
| ELDERLY | 645 | 330 | 105 | 1,080 | 370 | 395 | 215 | 980 |
| OTHER | 1,085 | 610 | 255 | 1,950 | 200 | 85 | 120 | 405 |
| TOTAL NEED BY INCOME | 3,660 | 2,055 | 690 | 6,405 | 784 | 720 | 690 | 2,194 |

TABLE 9 – COST BURDEN > 30%

DATA
SOURCE: 2011-2015 CHAS

4. COST BURDEN > 50%

| | RENTER | | | | OWNER | | | |
|----------------------|-----------|-------------|-------------|-------|-----------|-------------|-------------|-------|
| | 0-30% AMI | >30-50% AMI | >50-80% AMI | TOTAL | 0-30% AMI | >30-50% AMI | >50-80% AMI | TOTAL |
| NUMBER OF HOUSEHOLDS | | | | | | | | |
| SMALL RELATED | 1,370 | 325 | 30 | 1,725 | 120 | 65 | 25 | 210 |
| LARGE RELATED | 320 | 50 | 0 | 370 | 70 | 30 | 15 | 115 |
| ELDERLY | 420 | 130 | 20 | 570 | 245 | 120 | 45 | 410 |
| OTHER | 905 | 135 | 30 | 1,070 | 160 | 70 | 15 | 245 |
| TOTAL NEED BY INCOME | 3,015 | 640 | 80 | 3,735 | 595 | 285 | 100 | 980 |

TABLE 10 – COST BURDEN > 50%

DATA
SOURCE: 2011-2015 CHAS

5. CROWDING (MORE THAN ONE PERSON PER ROOM)

| | RENTER | | | | | OWNER | | | | |
|---------------------------------------|-----------|-------------|-------------|--------------|-------|-----------|-------------|-------------|--------------|-------|
| | 0-30% AMI | >30-50% AMI | >50-80% AMI | >80-100% AMI | TOTAL | 0-30% AMI | >30-50% AMI | >50-80% AMI | >80-100% AMI | TOTAL |
| NUMBER OF HOUSEHOLDS | | | | | | | | | | |
| SINGLE FAMILY HOUSEHOLDS | 130 | 135 | 55 | 15 | 335 | 8 | 30 | 24 | 10 | 72 |
| MULTIPLE, UNRELATED FAMILY HOUSEHOLDS | 30 | 14 | 10 | 25 | 79 | 0 | 0 | 0 | 0 | 0 |
| OTHER, NON-FAMILY HOUSEHOLDS | 0 | 10 | 0 | 0 | 10 | 0 | 0 | 0 | 0 | 0 |
| TOTAL NEED BY INCOME | 160 | 159 | 65 | 40 | 424 | 8 | 30 | 24 | 10 | 72 |

TABLE 11 – CROWDING INFORMATION – 1/2
2011-2015 CHAS

DATA
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.

2011-2015 ACS DATA SUGGESTS THAT THE CITY OF UTICA HAS A POPULATION OF 61,630 PEOPLE CREATING 23,620 HOUSEHOLDS. OF THESE 23,620 HOUSEHOLDS, 8,625 ARE SINGLE PERSON HOUSEHOLDS. APPROXIMATELY 48% OF THESE SINGLE PERSON HOUSEHOLDS ARE COMPRISED OF ADULTS BETWEEN THE AGES OF 35 AND 64, 40% ARE ELDERLY INDIVIDUALS 65 OR OLDER AND ONLY 12% ARE YOUNG ADULTS BETWEEN THE AGES OF 15 AND 34. FURTHERMORE, APPROXIMATELY 63% OF THE SINGLE PERSON HOUSEHOLDS ARE COMPRISED BY INDIVIDUALS WHO ARE UNEMPLOYED, RETIRED OR OTHERWISE NOT IN THE WORKFORCE AND THE MEDIAN INCOME FOR A SINGLE PERSON HOUSEHOLD WITHIN THE CITY IS APPROXIMATELY \$20,877.00 INDICATING THAT THE VAST MAJORITY OF SINGLE PERSON HOUSEHOLDS ARE LIVING ON LIMITED TO NO INCOME. ADDITIONALLY, 37% OF THE INDIVIDUALS LIVING IN A SINGLE PERSON HOUSEHOLD DO NOT HAVE A VEHICLE.

LOOKING AT THE TYPES OF HOUSING THOSE SINGLE PERSON HOUSEHOLDS OCCUPY, THE VAST MAJORITY OF RENTERS (61%), WITH THE REMAINING 39% BEING HOMEOWNERS. TURNING JUST TO THE SINGLE PERSON HOUSEHOLDS THAT RENT, THE VAST MAJORITY (49%) LIVE IN 2-4 UNIT STRUCTURES, WITH ONLY 6% LIVING IN SINGLE UNIT STRUCTURES, 5% IN STRUCTURES CONTAINING BETWEEN 20-49 UNITS, 19% IN SMALL APARTMENT BUILDINGS CONTAINING 5-19 UNITS AND 20% IN LARGE APARTMENT BUILDINGS CONTAINING 50 OR MORE UNITS. IN CONTRAST, SINGLE PERSON HOUSEHOLDS LIVING IN HOMES THEY HOME ARE PREDOMINATELY LIVING IN SINGLE UNIT DETACHED STRUCTURES (76%) OR 2-4 UNIT STRUCTURES (21%).

IN ANALYZING THIS DATA, IT IS CLEAR THAT SINGLE PERSON HOUSEHOLDS WITHIN THE CITY OF UTICA ARE MORE LIKELY TO BE NON-WORKING HOUSEHOLDS WITH LARGER HOUSEHOLDS SHOWING APPROXIMATELY 3,000 -4000 FEWER NON-WORKING HOUSEHOLDS. ADDITIONALLY, SINGLE PERSON HOUSEHOLDS HAVE LOWER INCOMES AND INCREASED COST BURDENS WITH REGARD TO HOUSING AND ARE MORE LIKELY TO BE HOUSEHOLDS WITHOUT VEHICLES. FURTHER, A SIGNIFICANT PORTION OF THE SINGLE PERSON HOUSEHOLDS ARE ELDERLY INDIVIDUALS. IN FACT, ACS DATA DEMONSTRATES THAT JUST OVER HALF OF THE ELDERLY POPULATION WITHIN THE CITY IS LIVING IN SINGLE PERSON HOUSEHOLDS.

THIS DATA INDICATES A NUMBER OF SIGNIFICANT ISSUES WITH REGARD TO THE HOUSING NEEDS OF THE SINGLE PERSON HOUSEHOLD POPULATION. GIVEN THAT THE VAST MAJORITY OF THESE SINGLE PERSON HOUSEHOLDS, BOTH RENTERS AND OWNERS, ARE LIVING IN SMALLER STRUCTURES BETWEEN 1-4 UNITS (APPROXIMATELY 71%) AND THE FACT THAT THE COST

BURDEN IS SUBSTANTIALLY HIGHER FOR SINGLE PERSON HOUSEHOLDS, IT IS IMPORTANT THAT HOUSING UNITS BE AFFORDABLE, BOTH FROM A RENTAL AND PURCHASE STANDPOINT AND WITH REGARD TO HEATING COSTS, REPAIRS, AND OVERALL SUSTAINABILITY. FURTHERMORE, WITH ONLY 6% OF THE HOUSING STOCK WITHIN THE CITY OF UTICA BEING BUILT AFTER 1970, AND 52% OF THE HOUSING STOCK HAVING BEEN BUILT PRIOR TO 1939, THE NEED TO ENSURE THAT HOMES ARE SAFE, AFFORDABLE STRUCTURES, ESPECIALLY FOR THE 35% OF THE POPULATION THAT ARE CLASSIFIED AS SINGLE PERSON HOUSEHOLDS AND ARE THEREFORE MORE LIKELY TO HAVE A HIGHER COST BURDEN. THEREFORE, THERE IS A SUBSTANTIAL NEED TO ENSURE THAT HOMES WHICH ARE DETERIORATING ARE DILAPIDATED BE REHABILITATED OR REPLACED. FINALLY, IT IS EQUALLY IMPORTANT, GIVEN THAT OVER 3,000 INDIVIDUALS ARE NOT ONLY LIVING ON THEIR OWN, BUT ARE ALSO WITHOUT A VEHICLE, THAT HOUSING IS AVAILABLE NEAR PUBLIC TRANSPORTATION AND ESSENTIAL SERVICES, INCLUDING ACCESS TO AFFORDABLE, HEALTHY FOOD.

ESTIMATE THE NUMBER AND TYPE OF FAMILIES IN NEED OF HOUSING ASSISTANCE WHO ARE DISABLED OR VICTIMS OF DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT AND STALKING.

VICTIMS OF DOMESTIC VIOLENCE OR SEXUAL ASSAULT: THE YWCA OF THE MOHAWK VALLEY PROVIDES THE MOST COMPREHENSIVE DOMESTIC VIOLENCE SERVICES TO DOMESTIC VIOLENCE VICTIMS AND THEIR CHILDREN IN THE CITY OF UTICA. ACCORDING TO THEIR REPORTS, THEY ANSWERED 2,462 CALLS FOR HELP FROM DV VICTIMS ON THEIR 24-HOUR HOTLINE LAST YEAR. APPROXIMATELY 50% OF THESE CALLS ORIGINATING FROM THE CITY OF UTICA. USING THIS TO DEVELOP THE MOST CONSERVATIVE ESTIMATE, APPROXIMATELY 1,231 RESIDENTS OF THE JURISDICTION WERE VICTIMS OF DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT AND STALKING. AND THEY SERVED 60 WOMEN AND 46 CHILDREN IN THEIR ESG-FUNDED DOMESTIC VIOLENCE SHELTER LOCATED IN UTICA, AND 12 ADULT DOMESTIC VIOLENCE VICTIMS AND 12 CHILDREN IN THEIR CoC-FUNDED UTICA-BASED TRANSITIONAL HOUSING PROGRAM FOR DV VICTIMS AND THEIR CHILDREN. HOWEVER, GIVEN THAT APPROXIMATELY 1,231 RESIDENTS OF THE JURISDICTION WERE VICTIMS LAST YEAR, ONLY 18% (224) SOUGHT AND RECEIVED HOUSING ASSISTANCE. IT IS LIKELY THAT AT LEAST HALF ACTUALLY NEEDED HOUSING ASSISTANCE, BUT DID NOT SEEK IT.

DISABLED PERSONS: APPROXIMATELY 11,000 INDIVIDUALS WITHIN THE CITY OF UTICA ARE DISABLED AND APPROXIMATELY 90% OF THE DISABLED POPULATIONS ARE ADULTS OVER THE AGE OF 18. OF THAT 90%, APPROXIMATELY 1/3 OF THE POPULATION IS WORKING AND ANOTHER 1/3 OF THE POPULATION IS LIVING BELOW THE POVERTY RATE. FURTHERMORE, APPROXIMATELY 4,300 PERSONS ARE RECEIVING FOOD STAMPS OR SNAP BENEFITS, BASING THE ESTIMATION OFF THE THESE STATISTICS, IT IS LIKELY THAT THERE ARE AT LEAST 4,000 INDIVIDUALS WITH DISABILITIES IN NEED OF HOUSING ASSISTANCE.

WHAT ARE THE MOST COMMON HOUSING PROBLEMS?

WITH REGARD TO THE FOUR HOUSING PROBLEMS IDENTIFIED BY THE HOUSING PROBLEMS TABLE ABOVE, THE MOST SIGNIFICANT HOUSING PROBLEM WITHIN THE CITY OF UTICA IS THE COST BURDEN FACED BY LOW/MODERATE INCOME INDIVIDUALS. 75% OF THE POPULATION OF THE CITY OF UTICA HAS AN ANNUAL INCOME THAT IS AT OR BELOW THE AREA MEDIAN INCOME. OF THAT 75%, 10% HAVE A HOUSING COST BURDEN THAT IS GREATER THAN 50% OF THEIR INCOME AND ANOTHER 19% HAVE A HOUSING COST BURDEN THAT IS GREATER THAN 30% OF THEIR INCOME. THIS HIGH COST BURDEN FOR THE LOW/MODERATE INCOME HOUSEHOLDS WITHIN THE CITY OF UTICA MAKES IT FAR MORE DIFFICULT FOR INDIVIDUALS TO MAINTAIN SAFE, AFFORDABLE HOMES WITHOUT SACRIFICING OTHER ESSENTIAL NEEDS. WHILE THE CITY OF UTICA IS CONSIDERED TO BE RELATIVELY AFFORDABLE FOR INDIVIDUALS AND FAMILIES WITH INCOMES AT OR ABOVE THE AREA MEDIAN INCOME, THE AFOREMENTIONED STATISTICS DEMONSTRATE THAT THREE QUARTERS OF THE POPULATION OF THE CITY OF UTICA IS LIVING ON LESS THE AREA MEDIAN INCOME AND IS STRUGGLING WITH HIGH COST BURDENS IN RELATION TO THEIR HOUSEHOLD INCOME. THIS IS PROBLEMATIC FOR A NUMBER OF REASONS. FIRST OF ALL, HIGH HOUSING

COST BURDENS ARE A CONTRIBUTING FACTOR FOR HOMELESSNESS. ADDITIONALLY, INDIVIDUALS AND FAMILIES WITH HIGH COST BURDENS ARE OFTEN UNABLE TO MAINTAIN THEIR HOUSEHOLD, MAKE ESSENTIAL REPAIRS, AND/OR ENGAGE IN NECESSARY UPKEEP DUE TO THE LIMITATION ON THEIR EXPENSES. FINALLY, FROM A SOCIO-ECONOMIC PERSPECTIVE, INDIVIDUALS WITH HIGH COST BURDENS ARE UNDER MORE STRESS, LESS ABLE TO OBTAIN HEALTHY, NATURAL FOODS, ARE LESS PRODUCTIVE, AND HAVE MORE DIFFICULTY MAINTAINING A STABLE HOUSEHOLD.

THE ISSUE OF SUBSTANDARD HOUSING, AS DEFINED IN THE TABLE OF HOUSING PROBLEMS ABOVE, DEMONSTRATES THAT THE VAST MAJORITY OF LOW/MODERATE HOUSEHOLDS ARE NOT LIVING IN “SUBSTANDARD HOUSING”; HOWEVER THE TABLE DEFINES SUBSTANDARD CONDITIONS AS UNITS LACKING COMPLETE PLUMBING OR KITCHEN FACILITIES. WHILE THE MAJORITY OF THE HOMES DO CONTAIN KITCHEN AND PLUMBING FACILITIES, MANY OF THE HOMES, ESPECIALLY THOSE WITHIN CENSUS TRACTS PREDOMINATELY POPULATED BY LOW/MODERATE INCOME FAMILIES, ARE SIGNIFICANTLY DILAPIDATED, DEMONSTRATE CLEAR STRUCTURAL DEFICIENCIES, AND/OR HAVE OUTDATED OR INSUFFICIENT HEATING, PLUMBING, AND/OR ELECTRICAL CONDITIONS. THIS IS LARGELY DUE TO THE FACT THAT OVER HALF OF THE HOUSING UNITS WITHIN THE CITY OF UTICA WERE BUILT PRIOR TO 1939 AND APPROXIMATELY 93% OF THE HOUSING UNITS WERE BUILT PRIOR TO 1979. IN ADDITION TO THIS CONTRIBUTING TO LEAD-BASED PAINT ISSUES, AN ISSUE WHICH WILL BE DISCUSSED BELOW, AND THE AGE OF THE HOUSING STOCK ALSO MEANS THAT MANY HOMES REQUIRE SIGNIFICANT AND SUBSTANTIAL REHABILITATION IN ORDER TO BE SAFE, AFFORDABLE AND CODE COMPLIANT.

ARE ANY POPULATIONS/HOUSEHOLD TYPES MORE AFFECTED THAN OTHERS BY THESE PROBLEMS?

WITH REGARD TO HOUSING COST BURDENS, AS EXPECTED LOW/MODERATE INCOME FAMILIES ARE SUBSTANTIALLY MORE LIKELY TO HAVE A HIGH COST BURDEN THAN HOUSEHOLDS EARNING HIGHER INCOMES. 62% OF ALL HOUSEHOLDS EARNING LESS THAN 30% AREA MEDIUM INCOME HAVE A HOUSING COST BURDEN THAT EXCEED 50% OF THEIR HOUSEHOLD INCOME AND ANOTHER 76% HAVE COST BURDENS THAT EXCEED 30% OF THE HOUSEHOLD INCOME. WHEN YOU BEGIN LOOKING AT THE CHARACTERISTICS ASSOCIATED WITH THE 0-30% AREA MEDIAN INCOME BRACKET, YOU DISCOVER THAT 60% OF THE POPULATION REPORTING A HIGH COST BURDEN ARE RENTERS, 23% OF THE TOTAL HOUSEHOLDS FOR THE INCOME BRACKET CONTAIN A CHILD UNDER THE AGE OF 6 YEARS OLD AND 16% CONTAIN AT LEAST ONE PERSON OVER THE AGE OF 62.

FOR HOUSEHOLDS EARNING BETWEEN 30-50% AREA MEDIUM INCOMES, APPROXIMATELY 22% OF THE HOUSEHOLDS HAVE A COST BURDEN GREATER THAN 50% OF THEIR ANNUAL HOUSEHOLD INCOME AND 65% HAVE A COST BURDEN GREATER THAN 30% OF THEIR INCOME. LOOKING AT THE BREAKDOWN OF THIS INCOME BRACKET, 17% HAVE AT LEAST ONE INDIVIDUAL OVER THE AGE OF 62 AND 20% HAVE A CHILD UNDER THE AGE OF 6. ADDITIONALLY, APPROXIMATELY 46% OF THE HOUSEHOLDS REPORTING A HIGH COST BURDEN IN THIS INCOME BRACKET ARE RENTERS.

HOUSEHOLDS EARNING 50-80% OF AREA MEDIUM INCOME ARE IN A BETTER POSITION WITH REGARD TO COST BURDEN WITH ONLY 2% REPORTING A HOUSING COST BURDEN THAT EXCEED 50% OF THEIR INCOME. HOWEVER, 32% OF THIS INCOME BRACKET DOES REPORT HAVING A COST BURDEN IN EXCESS OF 30% OF THEIR HOUSEHOLD INCOME, WITH THE SAME PERCENTAGE OF THOSE REPORTING BEING HOMEOWNERS AS DO RENTERS. 19% OF THE TOTAL INCOME BRACKET IS MADE UP BY HOUSEHOLDS WITH INDIVIDUALS OVER THE AGE OF 62 AND 14% OF THE INCOME BRACKET ARE HOUSEHOLDS WITH CHILDREN UNDER THE AGE OF 6.

IN PREVIOUSLY REPORTED DATA, MINORITY POPULATIONS MADE UP 39% OF THE HOUSEHOLDS REPORTING TO HAVE A COST BURDEN GREATER THAN 50% AND 22% REPORT HAVING A COST BURDEN GREATER THAN 30% OF THEIR ANNUAL INCOME. TAKEN TOGETHER, ALMOST TWO THIRDS OF THE MINORITY POPULATIONS IDENTIFIED BY THE ACS SURVEY DATA ARE STRUGGLING WITH HIGH COST BURDENS.

WHEN LOOKING AT THE SUITABILITY OF THE HOUSING STOCK AND THE AGE OF PROPERTIES IN LOW/MODERATE INCOME CENSUS TRACTS IT IS CLEAR THAT THE HOUSING IS PREDOMINATELY OLDER, INDICATING THAT LOW/MODERATE INCOME RESIDENCES ARE FAR MORE LIKELY TO ENCOUNTER THE PROBLEMS ASSOCIATED WITH AGING HOMES. THERE ARE 19 LOW/MODERATE INCOME CENSUS TRACTS WITHIN THE CITY OF UTICA. LOOKING JUST AT RENTAL HOUSING, FOUR TRACTS HAVE 80% OR MORE OF THEIR HOUSING BUILT PRIOR TO 1949 AND 10 TRACTS HAVE 52-80% OF THEIR HOUSING BUILT BEFORE 1949, WHEN LOOKING AT HOUSING BUILT PRIOR TO 1980, SEVENTEEN OF THE NINETEEN TRACTS HAVE 8-% OR MORE OF THEIR HOUSING BUILT PRIOR TO 1980 AND ONE HAS 52-80% OF THEIR HOUSING BUILT PRIOR TO 1980. ONLY ONE LOW/MODERATE INCOME TRACTS HAS LESS THAN 15% OF THEIR HOUSING BUILT PRIOR TO 1980 AND THAT IS LIKELY DO TO THE PRESENCE OF UTICA COLLEGE, A FOUR YEAR PRIVATE EDUCATIONAL INSTITUTION, WITHIN THAT TRACT. KNOWING THAT THE LOW/MODERATE INCOME CENSUS TRACTS ARE MORE AFFLICTED WITH THE PROBLEM OF AN AGING AND DETERIORATING HOUSING STOCK ALSO DEMONSTRATES, BASED ON THE AMERICAN COMMUNITY SURVEY DATA DISCUSSED WITHIN, THAT THE POPULATIONS AFFLICTED WITH THIS PROBLEM ARE ALSO LIKELY TO BE ELDERLY, HAVE YOUNG CHILDREN, AND/OR BE MINORITY POPULATIONS.

DESCRIBE THE CHARACTERISTICS AND NEEDS OF LOW-INCOME INDIVIDUALS AND FAMILIES WITH CHILDREN (ESPECIALLY EXTREMELY LOW-INCOME) WHO ARE CURRENTLY HOUSED BUT ARE AT IMMINENT RISK OF EITHER RESIDING IN SHELTERS OR BECOMING UNSHELTERED 91.205(c)/91.305(c)). ALSO DISCUSS THE NEEDS OF FORMERLY HOMELESS FAMILIES AND INDIVIDUALS WHO ARE RECEIVING RAPID RE-HOUSING ASSISTANCE AND ARE NEARING THE TERMINATION OF THAT ASSISTANCE

ACCORDING TO THE UTICA-ROME-ONEIDA-MADISON CONTINUUM OF CARE, LOW-INCOME AND EXTREMELY LOW INCOME INDIVIDUALS AND FAMILIES WITH CHILDREN WHO ARE CURRENTLY HOUSED BUT AT IMMINENT RISK OF EITHER SHELTERED OR UNSHELTERED HOMELESSNESS ARE MOST OFTEN YOUNGER (HEAD OF HOUSEHOLD IS UNDER 40 YEARS OLD). THEY ARE STRUGGLING TO GAIN A Foothold ON OUR LOCAL LABOR MARKET AND OFTEN HAVE A POOR WORK HISTORY, AND LOW LEVELS OF EDUCATION. THEY NEED EXTREMELY AFFORDABLE HOUSING UNITS AND OFTEN NEED SUPPORTIVE HOUSING (RENT SUBSIDIES COUPLED WITH CASE MANAGEMENT AND OTHER SERVICES) AND THEY NEED ACCESS TO CHANNELS OF OPPORTUNITY THAT INCLUDE GED CLASSES, VOCATIONAL TRAINING, AND JOB PREPARATION AND JOB PLACEMENT ASSISTANCE.

IF A JURISDICTION PROVIDES ESTIMATES OF THE AT-RISK POPULATION(S), IT SHOULD ALSO INCLUDE A DESCRIPTION OF THE OPERATIONAL DEFINITION OF THE AT-RISK GROUP AND THE METHODOLOGY USED TO GENERATE THE ESTIMATES:

NO ESTIMATE OF AT-RISK POPULATIONS PROVIDED.

SPECIFY PARTICULAR HOUSING CHARACTERISTICS THAT HAVE BEEN LINKED WITH INSTABILITY AND AN INCREASED RISK OF HOMELESSNESS

ACCORDING TO THE UTICA-ROME-ONEIDA-MADISON CONTINUUM OF CARE SPECIFIC HOUSING CHARACTERISTICS ASSOCIATED WITH HOMELESS IN UTICA INCLUDE HIGH HOUSING COST BURDENS AND THE EFFECT THAT AGE AND CONDITION OF THE CITY OF UTICA HOUSING STOCK HAS ON THE ABILITY OF A HOUSEHOLD TO MAINTAIN A HOME.

AS DISCUSSED ABOVE, THE HOUSEHOLDS WITHIN THE CITY OF UTICA ARE SIGNIFICANTLY COST BURDENED. THIS IS SO ESPECIALLY WITH THOSE HOUSEHOLDS RENTING RATHER THAN OWNING. UTICA RESIDENTS, ON AVERAGE, PAY 39% OF THEIR HOUSEHOLD INCOME FOR RENT- THE HIGHEST PERCENTAGE ON OUR REGION (NEARBY ROME RESIDENT PAY 32% AND THE ONEIDA COUNTY AVERAGE IS 27%). THE EFFECT OF HIGH HOUSING COST BURDENS BECOME ESPECIALLY CONCERNING WHEN ANALYZED IN RELATION TO INCOME LEVEL. FOR HOUSEHOLDS EARNING BETWEEN 30-50% AREA MEDIUM INCOMES, APPROXIMATELY 22% OF THE HOUSEHOLDS HAVE A COST BURDEN GREATER THAN 50% OF THEIR ANNUAL HOUSEHOLD

INCOME AND 65% HAVE A COST BURDEN GREATER THAN 30% OF THEIR INCOME. LOOKING AT THE BREAKDOWN OF THIS INCOME BRACKET, 16% HAVE AT LEAST ONE INDIVIDUAL OVER THE AGE OF 62 AND 23% HAVE A CHILD UNDER THE AGE OF 6. ADDITIONALLY, APPROXIMATELY 60% OF THE HOUSEHOLDS REPORTING A HIGH COST BURDEN IN THIS INCOME BRACKET ARE RENTERS.

THE LOWEST INCOME HOUSEHOLDS IN OUR CITY – AND THOSE WHO ARE MOST LIKELY TO BE UNSTABLE OR TO FALL INTO HOMELESSNESS- LIVE IN OUR POOREST NEIGHBORHOODS IN THE CENTRAL CITY AREAS WHERE THE OLDEST HOUSING STOCK IN NEED OF MAINTENANCE, REPAIR, AND RENOVATION IS LOCATED. MANY MORE FAMILIES HAVE DOUBLED OR EVEN TRIPLED UP IN RECENT YEARS TO REMAIN HOUSED. THOSE WHO BECOME HOMELESS AND SEEK HOUSING FOR LESS THAN \$360/MONTH (THE TOTAL PUBLIC ASSISTANCE SUBSIDY FOR SINGLE PERSONS) ARE OFTEN ONLY ABLE TO OBTAIN A SINGLE ROOM WITH SHARED BATH AND KITCHEN IN BUILDINGS THAT WERE BUILT BEFORE 1950 AND WHICH ARE IN DIRE NEED OF REPAIR OR RENOVATION. INDIVIDUALS LIVING IN THIS SHARED APARTMENT (WITH ONLY THEIR OWN ROOM) ARE AT A VERY HIGH RISK OF REPEAT HOMELESSNESS.

DISCUSSION

NA-15 DISPROPORTIONATELY GREATER NEED: HOUSING PROBLEMS – 91.205 (B)(2)

ASSESS THE NEED OF ANY RACIAL OR ETHNIC GROUP THAT HAS DISPROPORTIONATELY GREATER NEED IN COMPARISON TO THE NEEDS OF THAT CATEGORY OF NEED AS A WHOLE.

INTRODUCTION

HUD DEFINES A DISPROPORTIONATELY GREATER HOUSING NEED AS WHEN A RACIAL OR ETHNIC GROUP EXPERIENCES HOUSING PROBLEMS AT A RATE AT LEAST 10 PERCENTAGE POINTS GREATER THAN THAT OF THE CORRESPONDING INCOME LEVEL AS A WHOLE. THE DATA TABLE BELOW SUMMARIZES THE PERCENTAGE OF EACH RACIAL/ETHNIC GROUP EXPERIENCING HOUSING PROBLEMS BY HUD AREA MEDIAN INCOME (AMI) LEVELS. THERE ARE FOUR HOUSING CONDITIONS ANALYZED WHEN DETERMINING WHETHER OR NOT A HOUSEHOLD IS EXPERIENCING A HOUSING PROBLEM: (1) HOUSING UNIT LACKS COMPLETE KITCHEN FACILITIES; (2) HOUSING UNIT LACKS COMPLETE PLUMBING FACILITIES; (3) OVERCROWDING EXISTS WITHIN THE HOUSING UNIT (MORE THAN ONE PERSON PER ROOM); AND/OR (4) COST BURDEN IS GREATER THAN 30% OF THE HOUSEHOLD INCOME.

IN ANALYZING THE HOUSEHOLDS PRESENT WITHIN THE COMMUNITY, AS DEFINED BY THE AMERICAN COMMUNITY SURVEY, IT IS APPARENT THAT HOUSEHOLDS IDENTIFYING AS AMERICAN INDIAN/ALASKA NATIVE AND PACIFIC ISLANDER DO NOT MAKE UP A SIGNIFICANT PORTION OF THE COMMUNITY POPULATION (0.46% AND 0.02% OF THE JURISDICTION RESPECTIVELY). DUE TO THE LOW PERCENTAGE OF THESE COMMUNITIES WITHIN THE JURISDICTIONS, THE MARGINS OF ERROR ASSOCIATED WITH THE ESTIMATES AVAILABLE ARE EXTREMELY HIGH. THEREFORE, THESE POPULATIONS HAVE NOT BEEN INCLUDED IN THE ANALYSIS. IT SHOULD ALSO BE NOTED THAT NON-WHITE GROUPS HAVE A SMALLER SAMPLE SIZES AND DATA ON THESE GROUPS HAVE A HIGHER MARGIN OF ERROR.

0%-30% OF AREA MEDIAN INCOME

| HOUSING PROBLEMS | HAS ONE OR MORE OF FOUR HOUSING PROBLEMS | HAS NONE OF THE FOUR HOUSING PROBLEMS | HOUSEHOLD HAS NO/NEGATIVE INCOME, BUT NONE OF THE OTHER HOUSING PROBLEMS |
|--------------------------------|------------------------------------------|---------------------------------------|--------------------------------------------------------------------------|
| JURISDICTION AS A WHOLE | 4,500 | 925 | 405 |
| WHITE | 2,255 | 565 | 185 |
| BLACK / AFRICAN AMERICAN | 930 | 90 | 105 |
| ASIAN | 445 | 45 | 15 |
| AMERICAN INDIAN, ALASKA NATIVE | 24 | 4 | 10 |
| PACIFIC ISLANDER | 4 | 0 | 0 |
| HISPANIC | 645 | 179 | 55 |

TABLE 13 - DISPROPORTIONALLY GREATER NEED 0 - 30% AMI

DATA

2011-2015 CHAS

SOURCE:

*THE FOUR HOUSING PROBLEMS ARE:

1. LACKS COMPLETE KITCHEN FACILITIES,
2. LACKS COMPLETE PLUMBING FACILITIES,
3. MORE THAN ONE PERSON PER ROOM,
4. COST BURDEN GREATER THAN 30%

30%-50% OF AREA MEDIAN INCOME

| HOUSING PROBLEMS | HAS ONE OR MORE OF FOUR HOUSING PROBLEMS | HAS NONE OF THE FOUR HOUSING PROBLEMS | HOUSEHOLD HAS NO/NEGATIVE INCOME, BUT NONE OF THE OTHER HOUSING PROBLEMS |
|--------------------------------|------------------------------------------------|---------------------------------------------|--------------------------------------------------------------------------------------|
| JURISDICTION AS A WHOLE | 2,880 | 1,395 | 0 |
| WHITE | 1,665 | 895 | 0 |
| BLACK / AFRICAN AMERICAN | 530 | 165 | 0 |
| ASIAN | 180 | 120 | 0 |
| AMERICAN INDIAN, ALASKA NATIVE | 4 | 4 | 0 |
| PACIFIC ISLANDER | 0 | 0 | 0 |
| HISPANIC | 425 | 160 | 0 |

TABLE 14 - DISPROPORTIONALLY GREATER NEED 30 - 50% AMI

DATA
SOURCE: 2011-2015 CHAS

*THE FOUR HOUSING PROBLEMS ARE:

1. LACKS COMPLETE KITCHEN FACILITIES, 2. LACKS COMPLETE PLUMBING FACILITIES, 3. MORE THAN ONE PERSON PER ROOM, 4.COST BURDEN GREATER THAN 30%

50%-80% OF AREA MEDIAN INCOME

| HOUSING PROBLEMS | HAS ONE OR MORE OF FOUR HOUSING PROBLEMS | HAS NONE OF THE FOUR HOUSING PROBLEMS | HOUSEHOLD HAS NO/NEGATIVE INCOME, BUT NONE OF THE OTHER HOUSING PROBLEMS |
|--------------------------------|------------------------------------------------|---------------------------------------------|--------------------------------------------------------------------------------------|
| JURISDICTION AS A WHOLE | 1,465 | 2,885 | 0 |
| WHITE | 965 | 2,215 | 0 |
| BLACK / AFRICAN AMERICAN | 225 | 345 | 0 |
| ASIAN | 160 | 95 | 0 |
| AMERICAN INDIAN, ALASKA NATIVE | 15 | 14 | 0 |
| PACIFIC ISLANDER | 0 | 0 | 0 |
| HISPANIC | 60 | 195 | 0 |

TABLE 15 - DISPROPORTIONALLY GREATER NEED 50 - 80% AMI

DATA
SOURCE: 2011-2015 CHAS

*THE FOUR HOUSING PROBLEMS ARE:

1. LACKS COMPLETE KITCHEN FACILITIES, 2. LACKS COMPLETE PLUMBING FACILITIES, 3. MORE THAN ONE PERSON PER ROOM, 4.COST BURDEN GREATER THAN 30%

80%-100% OF AREA MEDIAN INCOME

| HOUSING PROBLEMS | HAS ONE OR MORE OF FOUR HOUSING PROBLEMS | HAS NONE OF THE FOUR HOUSING PROBLEMS | HOUSEHOLD HAS NO/NEGATIVE INCOME, BUT NONE OF THE OTHER HOUSING PROBLEMS |
|--------------------------------|------------------------------------------------|---------------------------------------------|--------------------------------------------------------------------------------------|
| JURISDICTION AS A WHOLE | 325 | 1,830 | 0 |
| WHITE | 205 | 1,390 | 0 |
| BLACK / AFRICAN AMERICAN | 35 | 190 | 0 |
| ASIAN | 45 | 185 | 0 |
| AMERICAN INDIAN, ALASKA NATIVE | 0 | 0 | 0 |
| PACIFIC ISLANDER | 0 | 0 | 0 |
| HISPANIC | 24 | 40 | 0 |

TABLE 16 - DISPROPORTIONALLY GREATER NEED 80 - 100% AMI

DATA
SOURCE:

2011-2015 CHAS

*THE FOUR HOUSING PROBLEMS ARE:

1. LACKS COMPLETE KITCHEN FACILITIES, 2. LACKS COMPLETE PLUMBING FACILITIES, 3. MORE THAN ONE PERSON PER ROOM, 4. COST BURDEN GREATER THAN 30%

DISCUSSION

IN GENERAL, THE PERCENTAGE OF HOUSEHOLDS EXPERIENCING HOUSING PROBLEMS IS HIGHEST FOR THE LOWEST INCOME BRACKET (0-30% AMI) AND DECREASES AS INCOME INCREASES. IN THE 0-30% AMI CATEGORY, BLACK/AFRICAN AMERICAN AND HISPANIC HOUSEHOLDS ARE MORE LIKELY TO EXPERIENCE A HOUSING PROBLEM. IN THE 30-50% AMI CATEGORY, BLACK/AFRICAN AMERICAN, ASIAN AND HISPANIC HOUSEHOLDS ARE ALL MORE LIKELY THAN WHITE HOUSEHOLDS TO EXPERIENCE A HOUSING PROBLEM. IN THE 50-80% AMI CATEGORY, HISPANIC HOUSEHOLDS ARE THE MOST LIKELY TO EXPERIENCE A HOUSING PROBLEM. IN THE CITY OF UTICA, HOUSING PROBLEMS OCCURRING AT A DISPROPORTIONATE DEGREE ARE EXPERIENCED AS FOLLOWS.

- BLACK/AFRICAN AMERICAN HOUSEHOLDS EARNING 0-30% AMI
- BLACK/AFRICAN AMERICAN HOUSEHOLDS EARNING 30-50% AMI
- ASIAN HOUSEHOLDS EARNING 30-50% AMI
- HISPANIC HOUSEHOLDS EARNING 0-30% AMI
- HISPANIC HOUSEHOLDS EARNING 30-50% AMI
- HISPANIC HOUSEHOLDS EARNING 50-80% AMI

IT IS WORTH NOTING THAT WHILE ASIAN HOUSEHOLDS EARNING BETWEEN 0-30% AMI DO NOT MEET THE DEFINITION OF A DISPROPORTIONATE, THEY ARE NEARING DISPROPORTIONATE NEED DEMONSTRATING A LIKELIHOOD OF HOUSING PROBLEMS AT A RATE THAT IS HIGHER THAN THAT OF WHITE HOUSEHOLDS.

NA-20 DISPROPORTIONATELY GREATER NEED: SEVERE HOUSING PROBLEMS – 91.205 (B)(2)

ASSESS THE NEED OF ANY RACIAL OR ETHNIC GROUP THAT HAS DISPROPORTIONATELY GREATER NEED IN COMPARISON TO THE NEEDS OF THAT CATEGORY OF NEED AS A WHOLE.

INTRODUCTION

HUD DEFINES A DISPROPORTIONATELY GREATER HOUSING NEED AS WHEN A RACIAL OR ETHNIC GROUP EXPERIENCES HOUSING PROBLEMS AT A RATE AT LEAST 10 PERCENTAGE POINTS GREATER THAN THAT OF THE CORRESPONDING INCOME LEVEL AS A WHOLE. THE DATA TABLE BELOW SUMMARIZES THE PERCENTAGE OF EACH RACIAL/ETHNIC GROUP EXPERIENCING SEVERE HOUSING PROBLEMS BY HUD AREA MEDIAN INCOME (AMI) LEVELS. THERE ARE FOUR HOUSING CONDITIONS ANALYZED WHEN DETERMINING WHETHER OR NOT A HOUSEHOLD IS EXPERIENCING A HOUSING PROBLEM: HOUSING UNIT LACKS COMPLETE KITCHEN FACILITIES; HOUSING UNIT LACKS COMPLETE PLUMBING FACILITIES; SEVERE OVERCROWDING EXISTS WITHIN THE HOUSING UNIT (MORE THAN 1.5 PERSON PER ROOM); AND/OR COST BURDEN IS GREATER THAN 50% OF THE HOUSEHOLD INCOME.

IT SHOULD BE NOTED, THAT NON-WHITE GROUPS HAVE VERY SMALL SAMPLE SIZES AND DATA ON THESE GROUPS ARE THEREFORE MORE PRONE TO ERROR. WITHIN THE JURISDICTION AS A WHOLE, WHITE HOUSEHOLDS REPRESENT APPROXIMATELY 52% OF THE JURISDICTION, SIGNIFICANTLY INFLUENCING THE OVERALL TREND. ADDITIONALLY, HOUSEHOLDS IDENTIFYING AS AMERICAN INDIAN/ALASKAN NATIVE OR PACIFIC ISLANDER MAKE UP A VERY SMALL PORTION OF THE POPULATION (.46% AND .02% RESPECTIVELY) AND, DUE TO THE MARGIN OF ERROR, HAVE NOT BEEN ANALYZED WITHIN.

0%-30% OF AREA MEDIAN INCOME

| SEVERE HOUSING PROBLEMS* | HAS ONE OR MORE OF FOUR HOUSING PROBLEMS | HAS NONE OF THE FOUR HOUSING PROBLEMS | HOUSEHOLD HAS NO/NEGATIVE INCOME, BUT NONE OF THE OTHER HOUSING PROBLEMS |
|--------------------------------|------------------------------------------------|---------------------------------------------|--------------------------------------------------------------------------------------|
| JURISDICTION AS A WHOLE | 3,695 | 1,730 | 405 |
| WHITE | 1,800 | 1,020 | 185 |
| BLACK / AFRICAN AMERICAN | 755 | 265 | 105 |
| ASIAN | 340 | 150 | 15 |
| AMERICAN INDIAN, ALASKA NATIVE | 14 | 15 | 10 |
| PACIFIC ISLANDER | 4 | 0 | 0 |
| HISPANIC | 590 | 240 | 55 |

TABLE 17 – SEVERE HOUSING PROBLEMS 0 - 30% AMI

2011-2015 CHAS

DATA
SOURCE:

*THE FOUR SEVERE HOUSING PROBLEMS ARE:

1. LACKS COMPLETE KITCHEN FACILITIES,
2. LACKS COMPLETE PLUMBING FACILITIES,
3. MORE THAN 1.5 PERSONS PER ROOM,
4. COST BURDEN OVER 50%

30%-50% OF AREA MEDIAN INCOME

| SEVERE HOUSING PROBLEMS* | HAS ONE OR MORE OF FOUR HOUSING PROBLEMS | HAS NONE OF THE FOUR HOUSING PROBLEMS | HOUSEHOLD HAS NO/NEGATIVE INCOME, BUT NONE OF THE OTHER HOUSING PROBLEMS |
|--------------------------------|------------------------------------------------|---------------------------------------------|--------------------------------------------------------------------------------------|
| JURISDICTION AS A WHOLE | 1,110 | 3,165 | 0 |
| WHITE | 600 | 1,960 | 0 |
| BLACK / AFRICAN AMERICAN | 245 | 450 | 0 |
| ASIAN | 80 | 220 | 0 |
| AMERICAN INDIAN, ALASKA NATIVE | 0 | 4 | 0 |
| PACIFIC ISLANDER | 0 | 0 | 0 |
| HISPANIC | 150 | 440 | 0 |

TABLE 18 – SEVERE HOUSING PROBLEMS 30 - 50% AMI

2011-2015 CHAS

DATA

SOURCE:

*THE FOUR SEVERE HOUSING PROBLEMS ARE:

1. LACKS COMPLETE KITCHEN FACILITIES, 2. LACKS COMPLETE PLUMBING FACILITIES, 3. MORE THAN 1.5 PERSONS PER ROOM, 4. COST BURDEN OVER 50%

50%-80% OF AREA MEDIAN INCOME

| SEVERE HOUSING PROBLEMS* | HAS ONE OR MORE OF FOUR HOUSING PROBLEMS | HAS NONE OF THE FOUR HOUSING PROBLEMS | HOUSEHOLD HAS NO/NEGATIVE INCOME, BUT NONE OF THE OTHER HOUSING PROBLEMS |
|--------------------------------|------------------------------------------------|---------------------------------------------|--------------------------------------------------------------------------------------|
| JURISDICTION AS A WHOLE | 290 | 4,065 | 0 |
| WHITE | 165 | 3,015 | 0 |
| BLACK / AFRICAN AMERICAN | 45 | 525 | 0 |
| ASIAN | 50 | 205 | 0 |
| AMERICAN INDIAN, ALASKA NATIVE | 15 | 19 | 0 |
| PACIFIC ISLANDER | 0 | 0 | 0 |
| HISPANIC | 15 | 240 | 0 |

TABLE 19 – SEVERE HOUSING PROBLEMS 50 - 80% AMI

2011-2015 CHAS

DATA

SOURCE:

*THE FOUR SEVERE HOUSING PROBLEMS ARE:

1. LACKS COMPLETE KITCHEN FACILITIES, 2. LACKS COMPLETE PLUMBING FACILITIES, 3. MORE THAN 1.5 PERSONS PER ROOM, 4. COST BURDEN OVER 50%

80%-100% OF AREA MEDIAN INCOME

| SEVERE HOUSING PROBLEMS* | HAS ONE OR MORE OF FOUR HOUSING PROBLEMS | HAS NONE OF THE FOUR HOUSING PROBLEMS | HOUSEHOLD HAS NO/NEGATIVE INCOME, BUT NONE OF THE OTHER HOUSING PROBLEMS |
|--------------------------------|------------------------------------------------|---------------------------------------------|--------------------------------------------------------------------------------------|
| JURISDICTION AS A WHOLE | 105 | 2,050 | 0 |
| WHITE | 40 | 1,550 | 0 |
| BLACK / AFRICAN AMERICAN | 0 | 225 | 0 |
| ASIAN | 30 | 200 | 0 |
| AMERICAN INDIAN, ALASKA NATIVE | 0 | 0 | 0 |
| PACIFIC ISLANDER | 0 | 0 | 0 |
| HISPANIC | 20 | 45 | 0 |

TABLE 20 – SEVERE HOUSING PROBLEMS 80 - 100% AMI

DATA
SOURCE: 2011-2015 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 (0.33% AND 0.02% OF THE JURISDICTION, RESPECTIVELY). AS A RESULT OF THE LOW PERCENTAGE OF THESE COMMUNITIES WITHIN THE OVERALL JURISDICTIONS, THE MARGINS OF ERROR ASSOCIATED WITH THE ESTIMATES AVAILABLE ARE EXTREMELY HIGH. THEREFORE, THESE POPULATIONS HAVE NOT BEEN INCLUDED IN THE FOLLOWING ANALYSIS. IT ALSO SHOULD BE NOTED THAT NON-WHITE GROUPS HAVE VERY SMALL SAMPLE SIZES AND DATA ON THESE GROUPS ARE THEREFORE MORE PRONE TO ERROR. WITHIN THE JURISDICTION AS A WHOLE, WHITE HOUSEHOLDS REPRESENT APPROXIMATELY 70% OF THE JURISDICTION, SIGNIFICANTLY INFLUENCING THE OVERALL TREND.

HOUSING COST BURDEN

| HOUSING COST BURDEN | <=30% | 30-50% | >50% | NO / NEGATIVE INCOME (NOT COMPUTED) |
|--------------------------------|--------|--------|-------|-------------------------------------|
| JURISDICTION AS A WHOLE | 14,045 | 4,320 | 4,825 | 425 |
| WHITE | 11,070 | 2,680 | 2,500 | 195 |
| BLACK / AFRICAN AMERICAN | 1,265 | 690 | 975 | 105 |
| ASIAN | 705 | 390 | 375 | 15 |
| AMERICAN INDIAN, ALASKA NATIVE | 24 | 15 | 29 | 10 |
| PACIFIC ISLANDER | 0 | 0 | 4 | 0 |
| HISPANIC | 770 | 450 | 725 | 55 |

TABLE 21 – GREATER NEED: HOUSING COST BURDENS AMI

DATA

2011-2015 CHAS

SOURCE:

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. ASIANS DO DEMONSTRATE A DISPROPORTIONATE NEED IN THE 30-50% AMI CATEGORY, ALONG WITH BLACK/AFRICAN AMERICAN AND HISPANIC HOUSEHOLDS. ADDITIONALLY, HISPANIC HOUSEHOLDS ALSO DEMONSTRATE A DISPROPORTIONATE NEED WITHIN THE 50-80% AMI CATEGORY, BUT DEMONSTRATE THE LOWEST PERCENTAGE OF NEED IN THE 80-100% AMI CATEGORY. WITH HISPANIC, BLACK/AFRICAN AMERICAN, AND ASIAN HOUSEHOLDS ALIKE, THE PERCENTAGE OF NEED IS RELATIVELY CONSISTENT FOR HOUSEHOLDS CATEGORIZED AS 0-30% AMI AND 30-50% AMI, AND SUBSTANTIALLY DECREASES FOR THE 50-80% AND 80-100% AMI CATEGORIES.

IN LOOKING AT DISPROPORTIONATE NEED AS IT RELATES TO SEVERE HOUSING PROBLEMS, THE DEGREE OF DISPROPORTIONATE NEED EXPONENTIALLY DECREASES AS INCOME INCREASE, WITH BLACK/AFRICAN AMERICAN, ASIAN, AND HISPANIC HOUSEHOLDS ALL DEMONSTRATING SIGNIFICANT NEED (RANGING FROM 79% -85%) AT A DISPROPORTIONATE DEGREE IN THE 0-30% AMI CATEGORY. IN THE 30-50% AMI CATEGORY, ASIAN AND BLACK/AFRICAN AMERICAN HOUSEHOLDS CONTINUE TO DEMONSTRATE A SUBSTANTIAL NEED AT A DISPROPORTIONATE DEGREE. IN THE 50%-80% AMI CATEGORY, BLACK/AFRICAN AMERICAN HOUSEHOLDS CONTINUE TO DEMONSTRATE A DISPROPORTIONATE DEGREE OF NEED. THE ONLY ANOMALY THAT OCCURS WITHIN THE EXPONENTIAL DECREASE IS WITHIN THE 80-100% AMI CATEGORY IN WHICH ASIAN HOUSEHOLDS INCREASE FROM A 0% NEED TO A 25% NEED, INDICATING A DISPROPORTIONATE NEED AMONGST ASIANS WITHIN THAT INCOME CATEGORY.

IF THEY HAVE NEEDS NOT IDENTIFIED ABOVE, WHAT ARE THOSE NEEDS?

THE MOST SIGNIFICANT NEED, AS IDENTIFIED IN SECTION NA-10 ABOVE AS WELL IN THE ANALYSIS OF DISPROPORTIONATE NEED, IS THE NEED CREATED BY COST BURDENED AND SEVERELY COST BURDENED HOUSEHOLDS. LACK OF COMPLETE KITCHEN/PLUMBING FACILITIES DID NOT DEMONSTRATE A SIGNIFICANT HOUSING PROBLEM WITHIN THE SECTION NA-10 ANALYSIS, HOWEVER IT IS KNOWN FROM COMMUNITY SURVEYS, COMPLAINTS FROM RESIDENTS, AND VARIOUS COMMUNITY OUTREACH EFFORTS THAT WHILE HOUSING IS RELATIVELY COMPLETE WITH REGARD TO KITCHEN AND PLUMBING FACILITIES, THERE ARE SIGNIFICANT DEFICIENCIES WITHIN THE HOUSING STRUCTURES DUE IN PART TO MAINTENANCE PROBLEMS AND IN PART TO THE AGE OF THE HOUSING STOCK. OVERCROWDING DOES NOT APPEAR TO BE A SIGNIFICANT ISSUE WITHIN THE JURISDICTION.

ARE ANY OF THOSE RACIAL OR ETHNIC GROUPS LOCATED IN SPECIFIC AREAS OR NEIGHBORHOODS IN YOUR COMMUNITY?

AS THE CENSUS TRACTS MAPS ILLUSTRATE, WHILE BLACK/AFRICAN AMERICAN, ASIAN, AND HISPANIC POPULATIONS ARE LOCATED TO SOME DEGREE THROUGHOUT THE BOUNDARIES OF THE JURISDICTION, BLACK/AFRICAN AMERICAN AND ASIAN HOUSEHOLDS ARE MOST PREVALENT WITHIN THE CENTRALLY LOCATED CORNHILL NEIGHBORHOOD.

BLACK/AFRICAN AMERICAN HOUSEHOLDS HAVE THE LARGEST CONCENTRATION WITHIN THE MOST CENTRALLY LOCATED CENSUS TRACT WITHIN CORNHILL, CT# 021500 IN WHICH 32.4%-47.2% OF THE HOUSEHOLDS IDENTIFY AS BLACK/AFRICAN AMERICAN. CT# 026400 AND CT# 021201 ARE ALSO LOCATED WITHIN THE CORNHILL NEIGHBORHOOD AND HAVE 19.7%-33.6% OF THE HOUSEHOLDS IDENTIFYING AS BLACK/AFRICAN AMERICAN. CT# 021101 IS LOCATED IN THE WESTERN PORTION OF THE DOWNTOWN DISTRICT AND ALSO HAS 7.72%-26.32% OF THE HOUSEHOLDS IDENTIFYING

AS BLACK/AFRICAN AMERICAN.

ASIAN HOUSEHOLDS ARE MOST CONCENTRATED IN THE EASTERN PORTION OF THE CORNHILL NEIGHBORHOOD WITH CT# 021202 REPORTING THE LARGEST CONCENTRATION (23.2%-42.2%) OF ASIAN HOUSEHOLDS. CT# 021500 AND CT# 026400, BOTH LOCATED IN THE MORE CENTRAL AND WESTERN PORTIONS OF CORNHILL, REPORT THE NEXT LARGEST CONCENTRATION OF ASIAN HOUSEHOLDS (12.7%-38.6%). ALSO REPORTING A CONCENTRATION OF ASIAN HOUSEHOLDS BETWEEN 5.9% AND 29.7% IS CT# 021102 WHICH IS LOCATED IN THE NEIGHBORHOOD BORDERED BY ROUTE 5/8/12 ON THE WEST, BURRSTONE RD ON THE SOUTH, NOYES ST ON THE NORTH AND GENESEE ST ON THE WEST.

HISPANIC HOUSEHOLDS ARE FAIRLY CONSISTENTLY LOCATED THROUGHOUT THE CITY OF UTICA'S LOW/MODERATE INCOME CENSUS TRACTS, WITH MOST CENSUS TRACTS REPORTING BETWEEN 6.3% AND 27.3% OF THE HOUSEHOLDS IDENTIFYING AS HISPANIC. THE EXCEPTION IS CT# 02083, WHICH IS LOCATED IN THE LOWER EAST UTICA SECTION OF THE JURISDICTION AND REPORTS HISPANIC POPULATIONS MAKING UP BETWEEN 19.5% AND 35.1% OF THE HOUSEHOLDS WITHIN THE CENSUS TRACT.

OUTSIDE OF THE CENSUS TRACTS THAT HAVE BEEN IDENTIFIED AS BEING PREDOMINATELY LOW/MODERATE INCOME, ONLY TWO REPORT HAVING ANY SIGNIFICANT RACIAL OR ETHNIC GROUPS LIVING WITHIN THEM. CT# 020705, WHICH IS JUST SOUTH OF THE BOUNDARY OF THE CORNHILL NEIGHBORHOOD REPORTS HAVING A 4.4%-20% BLACK/AFRICAN AMERICAN POPULATION AND CT# 021702, WHICH IS LOCATED IN LOWER SOUTH UTICA, REPORTS HAVING A .5%-7.5% HISPANIC POPULATION.

NA-35 PUBLIC HOUSING – 91.205(B)
INTRODUCTION

THE DATA PROVIDED BELOW ANALYZES THE OCCUPANCY DATA OF PUBLIC HOUSING IN THE CITY OF UTICA. THIS SUMMARY INCLUDES DATA RELATED TO SECTION 8 VOUCHERS, INCOME, HOUSEHOLD CHARACTERISTICS AND HOUSEHOLD NEEDS.

WHAT THE RESULTS DEMONSTRATE IS THAT THE MUNICIPAL HOUSING AUTHORITY IS SUCCESSFULLY SERVING THE POPULATIONS MOST IN-NEED BASED ON THE MOST AT-RISK CATEGORIES. THERE DOES NOT APPEAR TO BE ANY IMBALANCE IN WHICH POPULATIONS OR DEMOGRAPHIC RECEIVE SECTION 8 VOUCHERS.

| TOTALS IN USE | | | | | | | | | |
|----------------------------|-------------|-----------|----------------|----------|-----------------|----------------|-------------------------------------|----------------------------|------------|
| PROGRAM TYPE | | | | | | | | | |
| | CERTIFICATE | MOD-REHAB | PUBLIC HOUSING | VOUCHERS | | | | | |
| | | | | TOTAL | PROJECT - BASED | TENANT - BASED | SPECIAL PURPOSE VOUCHER | | |
| | | | | | | | 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 | | | | |
| | | | | TOTAL | PROJECT - BASED | TENANT - BASED | SPECIAL PURPOSE VOUCHER | |
| | | | | | | | VETERANS AFFAIRS SUPPORTIVE HOUSING | FAMILY UNIFICATION PROGRAM |
| AVERAGE ANNUAL INCOME | 0 | 0 | 12,469 | 11,585 | 0 | 11,585 | 0 | 0 |
| AVERAGE LENGTH OF STAY | 0 | 0 | 7 | 7 | 0 | 7 | 0 | 0 |
| AVERAGE HOUSEHOLD SIZE | 0 | 0 | 2 | 2 | 0 | 2 | 0 | 0 |
| # HOMELESS AT ADMISSION | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| # OF ELDERLY PROGRAM PARTICIPANTS (>62) | 0 | 0 | 243 | 41 | 0 | 41 | 0 | 0 |
| # OF DISABLED FAMILIES | 0 | 0 | 198 | 46 | 0 | 46 | 0 | 0 |
| # OF FAMILIES REQUESTING ACCESSIBILITY FEATURES | 0 | 0 | 815 | 153 | 0 | 153 | 0 | 0 |
| # OF HIV/AIDS PROGRAM PARTICIPANTS | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| # OF DV VICTIMS | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

TABLE 23 – CHARACTERISTICS OF PUBLIC HOUSING RESIDENTS BY PROGRAM TYPE

DATA SOURCE:

PIC (PIH INFORMATION CENTER)

RACE OF RESIDENTS

| RACE | CERTIFICATE | MOD-REHAB | PUBLIC HOUSING | PROGRAM TYPE | | | | | |
|-------------------------------|-------------|-----------|----------------|--------------|-----------------|----------------|-------------------------------------|----------------------------|------------|
| | | | | VOUCHERS | | | | | |
| | | | | TOTAL | PROJECT - BASED | TENANT - BASED | SPECIAL PURPOSE VOUCHER | | |
| | | | | | | | VETERANS AFFAIRS SUPPORTIVE HOUSING | FAMILY UNIFICATION PROGRAM | DISABLED * |
| WHITE | 0 | 0 | 595 | 99 | 0 | 99 | 0 | 0 | 0 |
| BLACK/AFRICAN AMERICAN | 0 | 0 | 212 | 53 | 0 | 53 | 0 | 0 | 0 |
| ASIAN | 0 | 0 | 8 | 1 | 0 | 1 | 0 | 0 | 0 |
| AMERICAN INDIAN/ALASKA NATIVE | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| PACIFIC ISLANDER | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| OTHER | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

*INCLUDES NON-ELDERLY DISABLED, MAINSTREAM ONE-YEAR, MAINSTREAM FIVE-YEAR, AND NURSING HOME TRANSITION

TABLE 24 – RACE OF PUBLIC HOUSING RESIDENTS BY PROGRAM TYPE
PIC (PIH INFORMATION CENTER)

DATA SOURCE:

ETHNICITY OF RESIDENTS

| ETHNICITY | CERTIFICATE | MOD-REHAB | PUBLIC HOUSING | PROGRAM TYPE | | | | | |
|--------------|-------------|-----------|----------------|--------------|-----------------|----------------|-------------------------------------|----------------------------|------------|
| | | | | 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
PIC (PIH INFORMATION CENTER)

DATA SOURCE:

SECTION 504 NEEDS ASSESSMENT: DESCRIBE THE NEEDS OF PUBLIC HOUSING TENANTS AND APPLICANTS ON THE WAITING LIST FOR ACCESSIBLE UNITS:

SECTION 504 OF THE REHABILITATION ACT OF 1973 STATES THAT NO QUALIFIED INDIVIDUAL WITH A DISABILITY SHALL, SOLELY BY REASON OF HIS OR HER DISABILITY, BE EXCLUDED FROM PARTICIPATION IN, BE DENIED THE BENEFITS OF, OR BE SUBJECTED TO DISCRIMINATION UNDER ANY PROGRAM, SERVICE OR ACTIVITY RECEIVING FEDERAL FINANCIAL ASSISTANCE; THIS APPLIES TO HOUSING ADMINISTERED BY A PUBLIC HOUSING AUTHORITY.

THE MUNICIPAL HOUSING AUTHORITY (HEREINAFTER REFERRED TO AS UMHA) IS COMMITTED TO ENSURING THAT ITS POLICIES AND PROCEDURES DO NOT DENY INDIVIDUALS WITH DISABILITIES THE OPPORTUNITY TO PARTICIPATE IN, OR BENEFIT FROM, NOR OTHERWISE DISCRIMINATE AGAINST INDIVIDUALS WITH DISABILITIES, ON THE BASIS OF DISABILITY, IN CONNECTION WITH THE OPERATIONS OF THE HOUSING AUTHORITY'S PROGRAMS, SERVICES AND ACTIVITIES. THEREFORE, IF AN INDIVIDUAL WITH A DISABILITY REQUIRES AN ACCOMMODATION SUCH AS AN ACCESSIBLE FEATURE OR MODIFICATION TO A UMHA POLICY, THE UMHA WILL PROVIDE SUCH ACCOMMODATION UNLESS DOING SO WOULD RESULT IN A FUNDAMENTAL ALTERATION IN THE NATURE OF THE PROGRAM; OR AN UNDUE FINANCIAL AND ADMINISTRATIVE BURDEN. IN SUCH A CASE, THE UMHA WILL MAKE ANOTHER ACCOMMODATION THAT WOULD NOT RESULT IN A FINANCIAL OR ADMINISTRATIVE BURDEN.

MOST IMMEDIATE NEEDS OF RESIDENTS OF PUBLIC HOUSING AND HOUSING CHOICE VOUCHER HOLDERS

THE UMHA OWNS, MANAGES, AND SUPERVISES A TOTAL OF 1,072 UNITS. OF THAT NUMBER, 893 ARE PUBLIC HOUSING UNITS, 36 ARE HOPE VI STAND ALONE TAX CREDIT UNITS, 50 ARE LOW-INCOME HOUSING TAX CREDIT (ROOSEVELT RESIDENCES), AND 93 ARE PROJECT-BASED SECTION 8 (NEW YORK STATE PUBLIC HOUSING). THE UMHA CURRENTLY PROVIDES 243 SECTION 8 (HOUSING CHOICE) VOUCHERS TO LOCAL TENANTS.

BOTH THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA, NY LOW INCOME PUBLIC HOUSING PROGRAM AND SECTION 8 (HOUSING CHOICE VOUCHER) PROGRAM HAVE HOMELESS AND DOMESTIC VIOLENCE PREFERENCES.

OUR AMERICORPS SELF-SUFFICIENCY HOUSING RESOURCE CENTER ASSISTED OVER 500 PEOPLE OBTAIN OR MAINTAIN HOUSING SINCE JANUARY. DUE TO RISING RENTS AND CONTINUING DIFFICULT ECONOMIC TIMES IN UPSTATE NEW YORK, UTICA HAS WITNESSED AN INCREASE IN THE NUMBER OF PEOPLE EVICTED, LIVING ON THE STREET, OR DOUBLING UP.

IN THIS SECTION, SEPARATE APPLICANT WAITING LISTS ARE PROVIDED FOR EACH OF THE DEVELOPMENTS OWNED, MANAGED, OR OVERSEEN BY THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA NEW YORK (UMHA). THE WAITING LISTS INCLUDE THE FOLLOWING DEVELOPMENTS:

- PERRETTA TWIN TOWERS – 108 UNITS - LOW INCOME PUBLIC HOUSING (LIPH) – SENIOR/DISABLED
 - MARINO-RUGGERIO APARTMENTS 50 UNITS -LIPH – SENIOR/DISABLED
 - GILLMORE VILLAGE – 190 UNITS – LIPH MULTI-FAMILY
 - DUPLEX HOMES – 10 UNITS - LIPH MULTI-FAMILY
 - 819 HAMILTON STREET APARTMENTS – 9 UNITS - LIPH MULTI-FAMILY
 - F. X. MATTS – 66 UNITS - LIPH MULTI-FAMILY
 - ADREAN TERRACE – 200 UNITS - LIPH MULTI-FAMILY
 - N.D. PETERS MANOR – 92 UNITS - LIPH MULTI-FAMILY
 - HUMPHREY GARDENS – 122 UNITS - LIPH MULTI-FAMILY
- CHANCELLOR APARTMENTS – 93 UNITS- PROJECT-BASED SECTION 8 VOUCHER NYS SENIOR-DISABLED PUBLIC HOUSING
- STEUBEN VILLAGE HOPE VI MIXED FINANCE DEVELOPMENT – HOPE VI MIXED FINANCE – 49 LOW-INCOME HOUSING

TAX CREDIT (LIHTC) UNITS (25 PUBLIC HOUSING)

- RUTGER MANOR HOPE VI MIXED FINANCE DEVELOPMENT HOPE VI MIXED FINANCE – 33 LOW-INCOME HOUSING TAX CREDIT (LIHTC) UNITS (21 PUBLIC HOUSING)

THE WAITING LISTS PRESENTED BELOW ARE MAINTAINED SEPARATELY AND, THEREFORE, MAY HAVE DUPLICATION OF APPLICANTS. THE DATA REFLECTS A SINGLE POINT OF TIME AND DOES NOT INCLUDE CUMULATIVE APPLICANTS. THE INFORMATION IS CURRENT AS OF OCTOBER 2019. THE WAITING LIST INCLUDES ONLY THOSE HOUSEHOLDS WHO HAVE MET SCREENING CRITERIA (E.G., INCOME, CREDIT, LANDLORD REFERENCES, HOME VISITS, CRIMINAL BACKGROUND CHECKS).

HOW DO THESE NEEDS COMPARE TO THE HOUSING NEEDS OF THE POPULATION AT LARGE

THESE NEEDS ARE CONSISTENT WITH THE NEEDS OF THE POPULATION AT LARGE, AS DISCUSSED ABOVE.

DISCUSSION

NOT APPLICABLE; SEE ABOVE.

NA-40 HOMELESS NEEDS ASSESSMENT – 91.205(c)

INTRODUCTION:

BECAUSE HOMELESSNESS IN OUR COMMUNITY IS NOT VISIBLE TO THE GENERAL PUBLIC, MOST RESIDENTS ARE NOT AWARE OF THIS SOCIAL PROBLEM OR THEY UNDERESTIMATE ITS SIZE. ONE POSITIVE REASON THAT HOMELESSNESS LACKS VISIBILITY IN THE CITY OF UTICA IS THAT WE HAVE A FAIRLY STRONG EMERGENCY AND TRANSITIONAL HOUSING SYSTEM. INDIVIDUALS RESIDING IN EMERGENCY HOUSING ARE STILL CONSIDERED HOMELESS BECAUSE THEY HAVE NO FIXED, PERMANENT PLACE TO LIVE. EMERGENCY HOUSING PROGRAMS ARE DESIGNED AND FUNDED FOR TEMPORARY STAYS- UP TO 30 DAYS WITH SOME EXCEPTIONS DEPENDING ON THE PROGRAM. ALSO, HOMELESS PERSONS WHO GO TO OUR COUNTY JAIL, A LOCAL PSYCHIATRIC HOSPITAL, OR TO THE ADDICTION CRISIS CENTER AND SIMILAR SHORT-TERM TREATMENT PROGRAMS ARE STILL CONSIDERED HOMELESS IF THEY HAVE NO PLACE TO LIVE WHEN DISCHARGED. WHILE RECEIVING TREATMENT IN THESE FACILITIES, OR WHILE LIVING IN SHELTERS WE DON'T SEE THEM ON THE STREETS.

ANOTHER REASON THE HOMELESS ARE NOT VISIBLE IN UTICA IS THAT THEY SEEK PRIVACY AND COMFORT. HOMELESS INDIVIDUALS AND FAMILIES WILL SLEEP IN THEIR CAR OR VAN IF THEY HAVE ONE AND WILL PARK IN PLACES WHERE THEY WON'T BE RECOGNIZED, DISTURBED OR HARASSED. THESE PLACES ARE OFTEN HIDDEN FROM VIEW. THOSE WITHOUT A VEHICLE OFTEN SLEEP IN ONE OF THE MANY ABANDONED BUILDINGS IN OUR COMMUNITY AND COME OUT FOR THE DAY FOR FOOD, ETC. FOR THE MOST PART THEY BLEND IN WITH OTHERS ON OUR SIDEWALKS AND STREETS. IN THE WARMER WEATHER, HOMELESS MEN AND WOMEN WILL SLEEP UNDER ONE OF THE SEVERAL BRIDGES THAT CROSS GENESEE ST. NEAR DOWNTOWN, OR IN WOODED AREAS WITHIN OR ON THE EDGE OF OUR CITY LIMITS.

INDIVIDUALS AND FAMILIES IN UTICA BECOME HOMELESS FOR MANY REASONS. ONE THING IS THAT THEY CANNOT AFFORD THE COST OF HOUSING. SOME HAVE REGULAR INCOME, BUT CANNOT AFFORD A DEPOSIT IN ADDITION TO THE FIRST MONTH'S RENT-, OR- IN MORE AND MORE CASES- THEY CAN FIND AND PAY FOR A LOW-COST APARTMENT, BUT THEY CANNOT GET THE HEAT AND UTILITIES TURNED ON BECAUSE OF PAST PAYMENT PROBLEMS WITH NATIONAL GRID AND DEPOSIT REQUIREMENTS. LOW-COST MUNICIPAL HOUSING AND OTHER GOVERNMENT SUBSIDIZED LOW-RENT HOUSING PROGRAMS REQUIRE CREDIT AND CRIMINAL BACKGROUND CHECKS THAT POSE A SIGNIFICANT BARRIER TO MANY WHO ARE HOMELESS. ALSO, A LARGE PROPORTION OF OUR HOMELESS POPULATION STRUGGLES WITH MENTAL HEALTH AND/OR SUBSTANCE ABUSE DISABILITIES THAT INTERFERE WITH THEIR ABILITY TO MAINTAIN EMPLOYMENT AND STABLE FAMILY RELATIONSHIPS. OTHER HOMELESS SUB-POPULATIONS WELL REPRESENTED IN OUR REGION ARE WOMEN WHO ARE VICTIMS OF DOMESTIC VIOLENCE (AND THEIR CHILDREN), AND BOTH MEN AND WOMEN WHO ARE UNABLE TO AFFORD A NEW APARTMENT AFTER A FAMILY BREAKUP.

WE ALSO HAVE MANY HOMELESS YOUTH AGE SIXTEEN TO TWENTY-ONE IN OUR COMMUNITY WHO LACK FAMILY SUPPORT AND WHO, IN MANY CASES, HAVE LEFT VIOLENT HOMES. THESE YOUTH FACE A DIFFERENT SET OF BARRIERS THAN YOUTH IN OUR COMMUNITY FACED IN THE LAST GENERATION: THE COST OF HOUSING RELATIVE TO PREVAILING WAGES FOR ENTRY-LEVEL JOBS HAS SHIFTED DRAMATICALLY, EVEN HERE WHERE HOUSING IS RELATIVELY INEXPENSIVE. THE SHIFT FROM AN INDUSTRIAL ECONOMY CHARACTERIZED BY AN ABUNDANCE OF ABOVE-MINIMUM-WAGE FACTORY WORK TO A POST-INDUSTRIAL ECONOMY CHARACTERIZED BY LOW-WAGE, PART-TIME, AND TEMPORARY EMPLOYMENT FOR THOSE WITHOUT MUCH EDUCATION HAS BEEN DRAMATIC. MILITARY SERVICE, A WAY OUT OF POVERTY AND INTO PERMANENT HOUSING FOR MANY YOUNG PEOPLE IN THE PAST, IS NO LONGER AN EASILY ACCESSIBLE OPTION FOR THOSE WHO HAVE NOT GRADUATED FROM HIGH SCHOOL OR COMPLETED THEIR GED OR FOR THOSE WITH A CRIMINAL OFFENSE ON THEIR RECORD.

HOMELESS NEEDS ASSESSMENT

| POPULATION | ESTIMATE THE # OF PERSONS EXPERIENCING HOMELESSNESS ON A GIVEN NIGHT | | ESTIMATE THE # EXPERIENCING HOMELESSNESS EACH YEAR | ESTIMATE THE # BECOMING HOMELESS EACH YEAR | ESTIMATE THE # EXITING HOMELESSNESS EACH YEAR | ESTIMATE THE # OF DAYS PERSONS EXPERIENCE HOMELESSNESS |
|----------------------------------------------------|----------------------------------------------------------------------|-------------|----------------------------------------------------|--------------------------------------------|-----------------------------------------------|--------------------------------------------------------|
| | SHELTERED | UNSHELTERED | | | | |
| PERSONS IN HOUSEHOLDS WITH ADULT(S) AND CHILD(REN) | 0 | 29 | 243 | 202 | 200 | 60 |
| PERSONS IN HOUSEHOLDS WITH ONLY CHILDREN | 0 | 109 | 20 | 18 | 16 | 130 |
| PERSONS IN HOUSEHOLDS WITH ONLY ADULTS | 0 | 0 | 675 | 650 | 630 | 30 |
| CHRONICALLY HOMELESS INDIVIDUALS | 0 | 23 | 80 | 70 | 65 | 90 |
| CHRONICALLY HOMELESS FAMILIES | 0 | 0 | 15 | 12 | 10 | 90 |
| VETERANS | 0 | 13 | 60 | 45 | 45 | 21 |
| UNACCOMPANIED CHILD | 0 | 15 | 80 | 65 | 60 | 70 |
| PERSONS WITH HIV | 0 | 2 | 15 | 12 | 10 | 30 |

TABLE 26 - HOMELESS NEEDS ASSESSMENT

DATA SOURCE

COMMENTS: DATA SUBMITTED BY THE CONTINUUM OF CARE. ESTIMATES REFERENCED FROM CONTINUUM OF CARE AND PREVIOUS CON PLAN DATA.

INDICATE IF THE HOMELESS POPULATION 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 | 76 | 0 |
| BLACK OR AFRICAN AMERICAN | 34 | 0 |
| ASIAN | 1 | 0 |
| AMERICAN INDIAN OR ALASKA NATIVE | 2 | 0 |
| PACIFIC ISLANDER | 0 | 0 |
| ETHNICITY: | SHELTERED: | UNSHELTERED (OPTIONAL) |
| HISPANIC | 12 | 0 |
| NOT HISPANIC | 107 | 0 |

DATA SOURCE

COMMENTS:

DATA SUBMITTED BY THE CONTINUUM OF CARE

ESTIMATE THE NUMBER AND TYPE OF FAMILIES IN NEED OF HOUSING ASSISTANCE FOR FAMILIES WITH CHILDREN AND THE FAMILIES OF VETERANS.

THIRTEEN (10%) OF THE 128 HOMELESS PERSONS SURVEYED BY THE CONTINUUM OF CARE INDICATED THAT THEY WERE VETERAN FOR THE PIT CENSUS IN 2020. IN 2019, TOTAL OF ELEVEN VETERANS WERE SURVEYED, FROM THE ELEVEN, ONE WAS UNSHELTERED. OVERALL, WE HAVE SEEN A SHIFT IN NUMBERS FOR VETERAN'S AND THEIR FAMILIES. THE DECLINE IS DUE TO THE INCREASED IN SERVICES AVAILABLE FOR FAMILIES AND VETERANS. THOUGH SOME VETERANS MAY NOT BE ELIGIBLE FOR VA SERVICES, THEY ARE ABLE TO ACCESS A VARIETY OF COMPARABLE RESOURCES THAT CAN FULFILL THEIR SPECIFIC NEEDS. ONE MAIN ORGANIZATION THAT PROVIDES THIS SERVICE IS THE CNY VETERANS OUTREACH CENTER/ UTICA CENTER FOR DEVELOPMENT. THE AGENCY OFFERS GENERAL CASE MANAGEMENT, SSVF FOR QUALIFYING VETERANS AS WELL AS ESG ASSISTANCE FOR THOSE WHO MAY NOT QUALIFY FOR SSVF. THEY ALSO PROVIDE ONSITE HOUSING THROUGH THE ESSHI AND HHAP PROJECTS WHICH GIVES VETERANS EITHER TRANSITIONAL OR PERMANENT SUPPORTIVE HOUSING. ADDITIONALLY, THEY CAN UTILIZE GENERAL FUNDS TO ASSIST WITH A VARIETY OF OTHER NEEDS A VETERAN AND THEIR FAMILY MAY HAVE. THEY ALSO HAVE AN ON-SITE BENEFITS COORDINATOR THAT ASSISTS WITH ANYTHING FROM DISCHARGE UPGRADES TO INCREASE IN BENEFITS. FEED OUR VETS ALSO PROVIDES A FOOD PANTRY AND CASE MANAGEMENT SERVICES TO VETERANS IN NEED. THE VA ITSELF ALSO HAS A VARIETY OF SUPPORTS FOR HOMELESS VETERANS TO INCLUDE HUD VASH, MOTT TEAM AND OTHER PROGRAMS THAT SPECIFICALLY ADDRESS THE NEEDS OF THIS POPULATION. SOLDIER ON IS ALSO PREVALENT WITHIN OUR CoC AND PROVIDES HOUSING THROUGH SSVF AS WELL FOR HOMELESS VETERANS. ALL THESE AGENCIES STILL CONTINUALLY PARTICIPATE IN THE VETERANS TASK FORCE THROUGH OUR CoC AND ARE COMMITTED TO ENDING VETERAN HOMELESSNESS IN OUR COMMUNITY. THE UTILIZATION OF THIS TASK FORCE AS WELL AS THE USE OF COORDINATED ENTRY WITHIN THE VA AND CoC ITSELF HAS HAD A GREAT IMPACT ON THE NUMBER OF HOMELESS VETERAN'S IN OUR AREA. THOUGH THERE ARE STILL MANY IN NEED, THIS NUMBER HAS BEEN GREATLY REDUCED DUE TO THE COORDINATION OF BOTH VETERAN SPECIFIC AND NON-VETERAN SPECIFIC AGENCIES.

THE CITY OF UTICA CONTINUES TO UTILIZE RAPID RE-HOUSING ASSISTANCE TO HELP HOUSE FAMILIES WITH CHILDREN. RAPID REHOUSING PROGRAM PROVIDES HOUSING SEARCH AND PLACEMENT, SECURITY DEPOSITS, SHORT TERM RENTAL ASSISTANCE, AND CASE MANAGEMENT FOR BOTH SINGLE ADULTS AND FAMILIES WITH CHILDREN FOR HOMELESS PERSONS AND FAMILIES IN UTICA.

IN ADDITION, THE REDUCTION IN THE NUMBER OF FAMILIES WITH CHILDREN IN WHETHER SHELTERED OR UNSHELTERED IS REFLECTIVE OF THE CHANGE IN THE DEFINITION OF HOMELESSNESS, FAMILIES WHO ARE DOUBLING-UP ARE NO LONGER CONSIDERED HOMELESS

DESCRIBE THE NATURE AND EXTENT OF HOMELESSNESS BY RACIAL AND ETHNIC GROUP.

BLACK AND AFRICAN-AMERICANS COMPRISE 16% OF UTICA’S POPULATION (2015 ACS DATA), BUT ACCOUNT FOR JUST UNDER A THIRD (29%) OF THE HOMELESS POPULATION. HOWEVER, IF ADJUSTED FOR HOUSEHOLD INCOME, UTICA’S POOR BLACK POPULATION APPEARS TO BECOME HOMELESS AT ABOUT THE SAME RATE AS POOR WHITES. HISPANICS REPRESENTED 5.8% OF THE CITY’S POPULATION IN 2000 BUT THIS PROPORTION HAS BEEN GROWING SINCE OUR LAST CENSUS. ACCORDING TO THE 2015 ACS DATA, HISPANICS REPRESENT 11.4% OF THE CITY’S POPULATION.

DESCRIBE THE NATURE AND EXTENT OF UNSHELTERED AND SHELTERED HOMELESSNESS.

UNSHELTERED –

IN 2017 THE PIT COUNT FOR UNSHELTERED WAS 16 AND FOR 2019 THE PIT COUNT WAS 14 REPRESENTING 23-25% OF THE OVERALL PIT CENSUS. WHEN LOOKING AT THE ESTIMATED UNSHELTERED NUMBERS COLLECTED IN HMIS WE NOTICE A DECLINE IN NUMBERS FOR UNSHELTERED IN OUR AREA. THE PRIMARY REASON FOR THIS REDUCTION IN THE NUMBER OF UNSHELTERED HOMELESS FAMILIES WITH CHILDREN WE ATTRIBUTE TO TWO KEY FACTORS: 1) HOMELESS INDIVIDUALS AND FAMILIES DURING SEVERE WINTER WEATHER ARE PROVIDED WITH SHELTER REGARDLESS OF THEIR SITUATION; ONEIDA COUNTY DEPARTMENT OF SOCIAL SERVICES HAS IMPLEMENTED COUNTYWIDE CODE BLUE PERIOD. WHEN SHELTERS HAVE NO BEDS AVAILABLE THE DEPARTMENT OF SOCIAL SERVICES ARE UTILIZING MOTEL VOUCHERS WITHIN THE CITY OF UTICA FOR INDIVIDUAL/FAMILIES WHO ARE DISPLACED DURING THE CODE BLUE PERIOD. DSS IS DILIGENT IN KEEPING THE FAMILY IN THE UTICA AREA WHERE CHILDREN AND YOUTH CAN CONTINUE ATTENDING SCHOOLS WITHOUT ANY DISRUPTIONS. 2) THE CITY OF UTICA (ESG) ADDED A STREET OUTREACH PROGRAM WHICH IS THE INITIAL CONTACT TO UNSHELTERED PERSONS. THEY REACH OUT DIRECTLY AND BUILD CRUCIAL RELATIONSHIP WITH PEOPLE EXPERIENCING HOMELESSNESS TO ASSIST THEM IN FINDING RESOURCES AND SHELTER. STREET OUTREACH WORKERS COMPLETE COORDINATED ENTRY ASSESSMENTS THAT HELP DETERMINE WHAT TYPE OF HOUSING PROJECT SUCH AS RAPID RE-HOUSING OR PERMANENT SUPPORTIVE HOUSING BEST SUITS THE INDIVIDUAL BASED ON THEIR LEVEL OF NEED.

SHELTERED- THE 2019 POINT-IN-TIME CENSUS REVEALED AN INCREASE IN THE NUMBER OF PERSONS IN EMERGENCY HOUSING. THE RESULTS FROM 2018 -2020 PIT CENSUS SHOWS AN INCREASE OF 17 PERSONS SHELTERED. THE PRIMARY REASONS FOR THIS INCREASE ARE 1. THE CITY OF UTICA HAS AN UNDERSUPPLY OF AFFORDABLE HOUSING. THE HIGH HOUSING COST NOT FITTING THE STANDARD BUDGET FOR PUBLIC ASSISTANCE AND FOR THOSE ON A FIX INCOME IS A SERIOUS CONCERN. FOR INDIVIDUALS STAYING AT A SHELTER, THE LENGTH OF STAY IS BECOMING LONGER DUE TO THE SHORTAGE OF AFFORDABLE ONE-BEDROOM APARTMENTS FOR SINGLE INDIVIDUALS. 2. ACCESS TO PUBLIC HOUSING AND OTHER SUBSIDIZED HOUSING IS LIMITED DUE TO THE BARRIERS IMPOSED BY REGULATIONS FROM FUNDING SOURCES SUCH AS BACKGROUND CHECKS, CRIMINAL RECORD, NO OR BAD CREDIT, AND HISTORY OF PREVIOUS EVICTIONS ETC. 3. MOST AFFORDABLE HOUSING PROJECTS HAVE AN EXTENSIVE WAIT LIST FOR HOUSING. THE WAITING LIST MAY BE MANY MONTHS TO YEARS LONG, AND APPLICANTS MUST GO THROUGH AN APPROVAL PROCESS. 4. OTHER HOUSING BARRIERS INCLUDE, BUT ARE NOT LIMITED TO, LOW-INCOME, SUBSTANCE ABUSE, CRIMINAL RECORDS, MENTAL ILLNESS, FORECLOSURE AND PAST EVICTIONS.

DISCUSSION:

NA-45 NON-HOMELESS SPECIAL NEEDS ASSESSMENT - 91.205 (B,D)

INTRODUCTION:

WITH REGARD TO SPECIAL NEEDS, THE CITY HAS IDENTIFIED FIVE SPECIAL NEEDS POPULATIONS' FIVE SPECIAL NEEDS POPULATIONS INCLUDING

1. EXTREMELY LOW-MODERATE INCOME HOUSEHOLDS (INCLUDING LARGE FAMILY HOUSEHOLDS, AND HOUSEHOLDS WITH CHILDREN PRESENT)
2. ELDERLY AND FRAIL ELDERLY INDIVIDUALS
3. PERSONS WITH DISABILITIES (INCLUDING METAL, PHYSICAL, AND DEVELOPMENTAL DISABILITIES)
4. VICTIMS OF DOMESTIC VIOLENCE

DESCRIBE THE CHARACTERISTICS OF SPECIAL NEEDS POPULATIONS IN YOUR COMMUNITY:

EXTREMELY LOW-MODERATE INCOME HOUSEHOLDS: HOUSEHOLDS WHICH HAVE AN ANNUAL HOUSEHOLD INCOME THAT IS BETWEEN 0-80% AMI HAVE BEEN IDENTIFIED AS A SPECIAL NEED POPULATION, LARGELY DUE TO THE NEEDS ASSOCIATED WITH THE HIGH HOUSING COST BURDEN FOR THIS POPULATION. AS IDENTIFIED WITHIN THE HOUSING NEEDS ASSESSMENTS AND DISPROPORTIONATE NEEDS ASSESSMENTS ABOVE, PERSONS MAKING LESS THAN 80% AMI ARE THE MOST AFFLICTED WITH HOUSING COST BURDEN AND SEVERE HOUSING COST BURDEN. HOUSEHOLDS WITH THIS SPECIAL NEED ARE MORE LIKELY TO BE AT-RISK FOR HOMELESSNESS, HAVE DIFFICULTY ACCESSING HEALTHY FOODS, HAVE DIFFICULTY MAKING NECESSARY HOUSING REPAIRS, LIVE IN PRE-1980S HOUSING UNITS AND ARE MORE LIKELY TO BE RENTERS IN NEED OF AFFORDABLE RENTAL UNITS. THESE HOUSEHOLDS INCLUDE LARGE FAMILY HOUSEHOLDS, FAMILIES WITH CHILDREN AND PUBLIC HOUSING RESIDENTS

ELDERLY AND FRAIL ELDERLY: 33% OF HOUSEHOLDS WITHIN THE JURISDICTION ARE ESTIMATED TO HAVE AT LEAST ONE ELDERLY INDIVIDUAL. 40% OF THOSE HOUSEHOLDS ARE SINGLE PERSON ELDERLY HOUSEHOLDS. ANOTHER 9% OF ARE HOUSEHOLDS IN WHICH AN ELDERLY INDIVIDUAL IS CARING FOR ONE OR MORE GRANDCHILD(REN) UNDER THE AGE OF 18.. ELDERLY INDIVIDUALS LIVING BELOW THE POVERTY LEVEL MAKE UP 16.1% OF THE TOTAL POPULATION LIVING IN POVERTY. THAT PERCENTAGE GROWS TO 48% (OF 8,314) WHEN LOOKING AT THE POPULATION OVER THE AGE OF 65.

PERSONS WITH MENTAL, PHYSICAL, AND/OR DEVELOPMENTAL DISABILITIES: 20% OF THE POPULATION OF THE CITY HAVING SOME FORM OF PHYSICAL OR MENTAL DISABILITY. 82% OF THE POPULATION WITH A DISABILITY IS OVER THE AGE OF 18, WITH 48% BEING ELDERLY (AS DISCUSSED ABOVE). FOR INDIVIDUALS REPORTING A DISABILITY BETWEEN THE AGES OF 18 AND 64, BETWEEN 10% AND 15% HAVE HEARING DIFFICULTY, THE SAME PERCENTAGE % HAVE VISION DIFFICULTY, ROUGHLY 50% HAVE COGNITIVE DIFFICULTY AND/OR HAVE AMBULATORY DIFFICULTY, OVER 20% HAVE SELF-CARE DIFFICULTY AND OVER 40% HAVE INDEPENDENT LIVING DIFFICULTY. (THE DISABLED POPULATION OVER THE AGE OF 65 IS DISCUSSED ABOVE.) WITH REGARD TO POVERTY, DISABLED ADULTS BETWEEN 18 AND 34 REPORT OVER 40% LIVING IN POVERTY, BETWEEN 35 AND 65 REPORT OVER 40% LIVING IN POVERTY. WHEN LOOKING AT THE DISABLED ELDERLY, ROUGHLY 20% OF THOSE OVER THE AGE OF 65 LIVE BELOW THE POVERTY LEVEL

VICTIMS OF DOMESTIC VIOLENCE OR SEXUAL ASSAULT: THE YWCA OF THE MOHAWK VALLEY PROVIDES THE MOST COMPREHENSIVE DOMESTIC VIOLENCE SERVICES TO DOMESTIC VIOLENCE VICTIMS AND THEIR CHILDREN IN THE CITY OF UTICA. ACCORDING TO THEIR REPORTS, THEY ANSWERED 2,462 CALLS FOR HELP FROM DV VICTIMS ON THEIR 24-HOUR

HOTLINE LAST YEAR. APPROXIMATELY 50% OF THESE CALLS ORIGINATING FROM THE CITY OF UTICA. USING THIS TO DEVELOP THE MOST CONSERVATIVE ESTIMATE, APPROXIMATELY 1,231 RESIDENTS OF THE JURISDICTION WERE VICTIMS OF DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT AND STALKING. AND THEY SERVED 60 WOMEN AND 46 CHILDREN IN THEIR ESG-FUNDED DOMESTIC VIOLENCE SHELTER LOCATED IN UTICA, AND 12 ADULT DOMESTIC VIOLENCE VICTIMS AND 12 CHILDREN IN THEIR CoC-FUNDED UTICA-BASED TRANSITIONAL HOUSING PROGRAM FOR DV VICTIMS AND THEIR CHILDREN. HOWEVER, GIVEN THAT APPROXIMATELY 1,231 RESIDENTS OF THE JURISDICTION WERE VICTIMS LAST YEAR, ONLY 18% (224) SOUGHT AND RECEIVED HOUSING ASSISTANCE. IT IS LIKELY THAT AT LEAST HALF ACTUALLY NEEDED HOUSING ASSISTANCE, BUT DID NOT SEEK IT.

WHAT ARE THE HOUSING AND SUPPORTIVE SERVICE NEEDS OF THESE POPULATIONS AND HOW ARE THESE NEEDS DETERMINED?

EXTREMELY LOW-MODERATE INCOME HOUSEHOLDS: GIVEN THE ABOVE ANALYSIS OF THE CHARACTERISTICS OF THIS POPULATIONS, THE CITY OF UTICA HAS CONCLUDED THAT EXTREMELY LOW-MODERATE INCOME HOUSEHOLDS ARE IN NEEDS OF HOUSING (ESPECIALLY RENTAL UNITS), ASSISTANCE WITH MAKING NECESSARY HOUSING REPAIRS, PROXIMATELY TO AVAILABLE HEALTHY FOOD OPTIONS, AND ACCESS TO SUPPORT SERVICES TO HELP REDUCE COST BURDEN. ADDITIONALLY, IN ORDER TO ASSIST THIS SPECIAL NEED POPULATION MOVE BEYOND THEIR CURRENT FINANCIAL POSITION, JOB TRAINING, EDUCATION SERVICES, AND JOB REFERRAL/ASSISTANCE PROGRAMS ARE ALSO NECESSARY.

ELDERLY AND FRAIL ELDERLY: LOOKING AT THE POPULATION OF ELDERLY INDIVIDUALS LIVING BELOW THE POVERTY LEVEL IT IS APPARENT THAT THERE IS A SUBSTANTIAL NEED FOR AFFORDABLE HOUSING. GIVEN THAT 52% OF THE ELDERLY HOUSEHOLDS ARE LIVING ALONE, IT IS IMPORTANT THAT THEY HAVE ACCESS TO SAFE AND AFFORDABLE HOUSING THAT IS WITHIN A COMMUNITY THAT WILL ALLOW THEM TO BE SOCIAL AND HAVE ACCESS TO IMPORTANT SERVICES WHILE STILL MAINTAINING AFFORDABILITY. ADDITIONALLY, THE DEGREE OF DISABILITY AMONG THE ELDERLY CREATES A NEED FOR ACCESS TO AFFORDABLE AND ACCESSIBLE HOUSING SUPPORTIVE SERVICES NEEDED WITHIN THIS POPULATION ARE SIMILAR TO THOSE SUPPORTIVE SERVICES NEEDED BY THE DISABLED POPULATION DISCUSSED BELOW.

PERSONS WITH MENTAL, PHYSICAL, AND/OR DEVELOPMENTAL DISABILITIES: DISABLED ADULTS ARE IN NEED OF SAFE, AFFORDABLE HOUSING THAT IS ACCESSIBLE AND/OR SUPPORTIVE. THE MOST OBVIOUS NEED FOR THE DISABLED IS ACCESSIBILITY BOTH FOR NEWLY DEVELOPED HOUSING AND EXISTING HOUSING IN NEED OF ACCESSIBLE UPGRADES. FURTHERMORE, SUPPORT HOUSING THAT AIDS WITH SELF-CARE AND INDEPENDENT LIVING IS ALSO A SIGNIFICANT NEED.

VICTIMS OF DOMESTIC VIOLENCE: THROUGH ANALYZING THE STATISTICS PROVIDED BY THE YWCA AND UNDERSTANDING THAT VICTIMS OF DOMESTIC VIOLENCE OFTEN HAVE TO LEAVE QUICKLY AND SECRETLY, THEY HAVE EXTENSIVE HOUSING NEEDS (BOTH TRANSITIONAL AND AFFORDABLE) AS WELL AS SOCIAL SERVICE REFERRAL NEEDS, ASSISTANCE WITH REESTABLISHING THROUGH JOB TRAINING AND EDUCATIONAL ASSISTANCE, AND COUNSELING SERVICES.

DISCUSS THE SIZE AND CHARACTERISTICS OF THE POPULATION WITH HIV/AIDS AND THEIR FAMILIES WITHIN THE ELIGIBLE METROPOLITAN STATISTICAL AREA:

ACCORDING TO THE 2019-2021 ONEIDA COUNTY HEALTH ASSESSMENT, ONEIDA COUNTY IS FAR BELOW THE HIV CASE RATE WHEN COMPARED WITH THE NEW YORK STATE CASE RATE. WHEN ANALYZING THE CASE RATE PER 100,000, ONEIDA COUNTY COME IN AT 5% AS OPPOSED TO NEW YORK STATE WHICH IS IDENTIFIED AT 7%. ADDITIONALLY, FROM 2009 TO 2011, ONEIDA COUNTY SAW A DECREASE IN AIDS CASES FROM 13 TO 6 AND A DECREASE IN HIV CASES FROM 22 TO 12, AS A RESULT OF THE LOW INCIDENTS OF HIV/AIDS WITHIN THE AREA, LITTLE TO NO DATA EXISTS WITH REGARD TO THE POPULATION'S CHARACTERISTICS.

DISCUSSION:

WHILE EACH OF THESE SPECIAL NEEDS CATEGORIES ARE UNIQUE WITH REGARD TO THE TYPES OF NEEDS THEY HAVE, ALL OF THE SPECIAL NEEDS POPULATIONS DEMONSTRATE A NEED FOR SUPPORTIVE HOUSING TO AID IN THEIR ABILITY TO LIVE INDEPENDENTLY. ADDITIONALLY, LOW-MODERATE HOUSEHOLDS, PERSONS WITH DISABILITIES AND VICTIMS OF DOMESTIC VIOLENCE ALL DEMONSTRATE ADDITIONAL NEEDS ASSOCIATED WITH JOB TRAINING AND ACCESSIBILITY TO EDUCATIONAL OPPORTUNITIES. FINALLY, ALL FIVE SPECIAL NEEDS POPULATIONS HAVE A NEEDS WITH REGARD TO ACCESS TO SUPPORTIVE SOCIAL SERVICES INCLUDING REFERRAL SERVICES FOR SPECIFIC SITUATIONS, COUNSELING SERVICES, AND EMERGENCY SERVICES.

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

DESCRIBE THE JURISDICTION’S NEED FOR PUBLIC FACILITIES:

WITH ITS CDBG FUNDS, THE CITY OF UTICA HAS THE ABILITY TO FUND THE CONSTRUCTION, REHABILITATION OR INSTALLATION OF PUBLIC FACILITIES, INCLUDING NEIGHBORHOOD FACILITIES.

TRADITIONALLY AND HISTORICALLY, THE CITY OF UTICA HAS NOT UTILIZED MUCH (IF ANY) OF ITS CDBG RESOURCES FOR THE CONSTRUCTION OR REHABILITATION OF PUBLIC FACILITIES. HOWEVER, FOR THE PAST TWELVE TO EIGHTEEN MONTHS, THE CITY HAS BEEN WORKING WITH THE COMMUNITY FOUNDATION OF HERKIMER & ONEIDA COUNTIES ON THE POSSIBLE DEVELOPMENT OF A NEIGHBORHOOD FACILITY IN A FORMER HIGH SCHOOL GYM IN CORNHILL, ONE OF THE CITY’S PREDOMINANTLY LOW- TO MODERATE-INCOME RESIDENTIAL NEIGHBORHOODS. TERMED AN ‘IMPACT CENTER’, THE EFFORT AIMS TO PROVIDE A HOLISTIC RANGE OF SERVICES TO THE NEIGHBORHOOD RESIDENTS AND UTILIZES A NEW BUSINESS MODEL WHEREBY VARIOUS SOCIAL SERVICE PROVIDERS WOULD LEASE SPACE WITHIN THE CENTER. THE PROPOSED LOCATION IS CURRENTLY OWNED BY THE UTICA URBAN RENEWAL AGENCY (UURA), WHO WOULD BE A PARTNER IN THIS EFFORT. CDBG FUNDS MAY BE UTILIZED WITHIN THE 2020 – 2024 SPAN OF TIME COVERED BY THIS CONSOLIDATED PLAN, THOUGH NO FUNDS HAVE BEEN ALLOCATED TO THE EFFORT IN THE CURRENT 2020 – 2021 PROGRAM YEAR.

HOW WERE THESE NEEDS DETERMINED?

THE LIMITED NEED TO USE CDBG FUNDS FOR PUBLIC FACILITIES WAS DETERMINED THROUGH AN EXTENSIVE PUBLIC OUTREACH/CITIZEN PARTICIPATION EFFORT DESCRIBED IN OTHER PARTS OF THE PREVIOUS AND CURRENT CONSOLIDATED PLANS. ADDITIONALLY, THE CITY HAS BEEN COORDINATING WITH THE COMMUNITY FOUNDATION OF HERKIMER & ONEIDA COUNTIES FOR ROUGHLY THE LAST TWELVE TO EIGHTEEN MONTHS.

DESCRIBE THE JURISDICTION’S NEED FOR PUBLIC IMPROVEMENTS:

WITH ITS CDBG FUNDS, THE CITY OF UTICA HAS THE ABILITY TO FUND THE CONSTRUCTION, REHABILITATION OR INSTALLATION OF PUBLIC IMPROVEMENTS INCLUDING SUCH ELEMENTS AS STREET AND SIDEWALK IMPROVEMENTS AND WATER AND SEWER INSTALLATION.

HISTORICALLY, THE CITY OF UTICA TRADITIONALLY ALLOCATES A FAIR AMOUNT OF ITS TOTAL CDBG ENTITLEMENT TO THE RECONSTRUCTION OF STREETS; THIS TREND IS LIKELY TO CONTINUE GIVEN THE CURRENT STATE OF REPAIRS OF THE CITY’S STREETS AND INFRASTRUCTURE. OVER THE PAST SEVERAL YEARS, IN ACCORDANCE WITH THE ‘COMPLETE STREETS’ THEORY ESPOUSED BY THE CITY’S MASTER PLAN, THE CITY HAS BEGUN ALLOCATING CDBG FUNDS TO THE REPLACEMENT OF SIDEWALKS; THIS IS LIKELY TO CONTINUE THROUGH THE 2020-2024 CONSOLIDATED PLAN PERIOD AS WELL.

HOW WERE THESE NEEDS DETERMINED?

AGAIN, THESE NEEDS WERE DETERMINED BASED ON AN EXTENSIVE PUBLIC OUTREACH/CITIZEN PARTICIPATION PROCESS THAT THE CITY EMPLOYED FOR ITS 2020-2024 CONSOLIDATED PLAN. THE CONDITION OF THE CITY’S STREETS AND INFRASTRUCTURE ARE FREQUENTLY RAISED AS ONE OF THE MOST PRESSING ISSUES FOR THE GENERAL PUBLIC. THE CITY’S ENGINEERING DEPARTMENT RATES EACH ROAD THROUGHOUT THE CITY ANNUALLY AND THE HIGHEST RANKING STREETS ARE LISTED FOR IMPROVEMENT; THOSE ON THE LIST FOR IMPROVEMENTS THAT ARE PRIMARILY RESIDENTIAL AND LOCATED IN AN AREA PRIMARILY LOW- TO MODERATE-INCOME THEN BECOME ELIGIBLE FOR CDBG FUNDING.

DESCRIBE THE JURISDICTION’S NEED FOR PUBLIC SERVICES:

WITH CDBG FUNDS, THE CITY OF UTICA HAS THE ABILITY TO FUND PUBLIC SERVICES FOR ITS LOW- AND MODERATE-INCOME RESIDENTS. ELIGIBLE PUBLIC SERVICES INCLUDE HOMELESS SERVICES, EDUCATION AND WORKFORCE DEVELOPMENT PROGRAMS, HOMEBUYER COUNSELING, AS WELL AS SERVICES FOR SENIOR CITIZENS AND YOUTH. ANY FUNDS EXPENDED FOR PUBLIC SERVICES, UNDER CDBG REGULATIONS, ARE CAPPED AT NO MORE THAN 15% OF A COMMUNITY’S ENTITLEMENT.

THE CITY OF UTICA ANNUALLY PROVIDES SUPPORT TO ITS THREE SENIOR CENTERS, ALONG WITH SEVERAL OF NOT-FOR-PROFITS THAT PROVIDE ACTIVITIES TO INCOME-ELIGIBLE YOUTH THROUGHOUT THE CITY OF UTICA; THIS IS LIKELY TO CONTINUE THROUGH THE DURATION OF THE 2020 – 2024 CONSOLIDATED PLAN PERIOD. UNDER MAYOR PALMIERI, THE AMOUNT OF CDBG DOLLARS ALLOCATED TO PUBLIC SERVICES HAS BEEN CUT NEARLY IN HALF OVER THE LAST EIGHT YEARS, TO ABOUT 8% OF THE CITY’S ENTITLEMENT. HOWEVER, IN LIGHT OF THE CURRENT PANDEMIC AND HUD’S RELAXATION ON THE PUBLIC SERVICE CAP FOR FUNDS EXPENDED TO ADDRESS THE PANDEMIC, IT IS LIKELY THAT THE CITY’S ALLOCATION OF CDBG FUNDS FOR PUBLIC SERVICE ACTIVITIES WILL INCREASE DRAMATICALLY OVER HISTORIC LEVELS. AS IT IS, ALLOCATION OF CDBG FUNDS TO PUBLIC SERVICES HAS ALREADY INCREASED TO JUST UNDER 13% IN THE PROPOSED 2020 – 2021 ANNUAL ACTION PLAN.

HOW WERE THESE NEEDS DETERMINED?

THE NEED FOR PUBLIC SERVICES IS GENERALLY MOST EFFECTIVELY PROVIDED THROUGH THE ANNUAL APPLICATIONS FOR CDBG FUNDS THAT THE CITY ANNOUNCES EACH YEAR. AS HAS BEEN PAST PRACTICE FOR THE LAST SEVERAL YEARS, THE CITY RELEASED A NOTICE OF FUNDING AVAILABILITY THIS YEAR WHICH WAS PUBLISHED AS A LEGAL NOTICE IN THE CITY’S OFFICIAL NEWSPAPER. THIS NOFA ALERTED LOCAL SOCIAL SERVICE AGENCIES TO THE AVAILABILITY OF CDBG FUNDS FROM THE CITY IN THE UPCOMING PROGRAM YEAR. THE NOTICE DETAILED ELIGIBLE ACTIVITIES FOR WHICH THE CDBG FUNDS COULD BE EXPENDED AND PROVIDED A SOURCE FOR THE APPLICATION ITSELF ALONG WITH A DEADLINE FOR SUBMISSION BACK TO THE CITY.

HOUSING MARKET ANALYSIS

MA-05 OVERVIEW

HOUSING MARKET ANALYSIS OVERVIEW:

USING COMPREHENSIVE HOUSING AFFORDABILITY STRATEGY (CHAS) AND AMERICAN COMMUNITY SURVEY (ACS) DATA PROVIDED BY HUD, THE CITY HAS ANALYZED THE CURRENT MARKET CONDITIONS WITHIN THE JURISDICTION AND HAS USED THIS ANALYSIS TO AID IN THE FORMULATION OF THE STRATEGIC PLAN.

WITH REGARD TO THE HOUSING MARKET, THE AVAILABLE DATA DEMONSTRATES THAT WHILE THERE ARE A NUMBER OF AFFORDABLE HOUSING UNITS AVAILABLE WITHIN THE CITY OF UTICA, THERE IS A SUBSTANTIAL NEED FOR ADDITIONAL UNITS OF AFFORDABLE HOUSING BASED ON THE NUMBER OF LOW/MODERATE INCOME RESIDENTS THAT EXIST WITHIN THE COMMUNITY., ANALYSIS OF HOUSING COSTS DEMONSTRATED THAT THE, FAIR MARKET RENTS AND AFFORDABLE HOME RENTS ARE NOT VERY FAR FROM EACH OTHER, AND IN MANY CASES THE AFFORDABLE RENTS ARE ACTUALLY HIGHER THAN THE FAIR MARKET RENTS. THIS COUPLED WITH THE ISSUES PERTAINING TO COST BURDEN AND SEVERE COST BURDEN INDICATE THAT THERE IS A NEED TO ENSURE THAT UNITS DEVELOPED ARE TRULY AFFORDABLE.

THE CONDITION OF THE CURRENT HOUSING STOCK WITHIN THE CITY OF UTICA IS, BASED UPON THE DATA AVAILABLE, SUBSTANDARD, ESPECIALLY WITH REGARD TO THE HOMES LIKELY OCCUPIED BY LOW/MODERATE INCOME HOUSEHOLDS. THIS ISSUE RESULTS SUBSTANTIALLY FROM THE AGE OF THE HOUSING STOCK, WHICH WAS PREDOMINATELY BUILT PRIOR TO 1980, WITH ABOUT HALF BEING BUILT BEFORE 1950.

IN ANALYZING PUBLIC HOUSING, ANTICIPATE REDUCTIONS IN FUNDING FOR MODERNIZATION IMPROVEMENTS, COUPLED WITH A NEED TO IMPROVE AND UPDATE HOUSING UNITS CREATES A CONCERNING MARKET CONDITION, ESPECIALLY GIVEN THE SIGNIFICANT WAITING LIST FOR THE EXISTING 800+ UNITS.

THE MARKET FOR FACILITIES AND SERVICES TO MEET THE NEEDS OF THE HOMELESS CONTINUE TO BE SIGNIFICANT WITHIN THE CITY, AND DESPITE RELATIVELY LOW LEVELS OF FUNDING TO MEET THESE NEEDS, FACILITIES HAVE BEEN SUCCESSFULLY OPERATING SHELTERS, TRANSITIONAL HOUSING PROGRAMS, AND RAPID-REHOUSING PROGRAMS TO MEET THE NEEDS OF THE COMMUNITY.

ANALYSIS OF THE MARKET AS IT ASSOCIATES WITH SPECIAL NEEDS COMMUNITIES IDENTIFIED THE FOLLOWING TYPES OF SERVICES AND SUPPORTIVE HOUSING THAT ARE NEEDED TO SUPPORT THE SPECIAL NEEDS POPULATIONS:

- HOUSING THAT IS AFFORDABLE, ACCESSIBLE AND PROVIDES SOCIALIZATION FOR THE ELDERLY AND FRAIL ELDERLY
- TRANSITIONAL HOUSING WITH COUNSELING, JOB TRAINING AND EDUCATIONAL SERVICES FOR DOMESTIC VIOLENCE VICTIMS;
- HOUSING THAT IS ACCESSIBLE PROVIDES INDEPENDENT LIVING ASSISTANCE, NON-NURSING SELF-CARE ASSISTANCE, AND SUPPORTIVE SERVICES FOR PERSONS WITH DISABILITIES;
- TRANSITIONAL HOUSING FOR PERSONS WITH DISABILITIES LEAVING INSTITUTIONAL SETTINGS; AND
- HOUSING THAT IS AFFORDABLE AND HAS ACCESS TO JOB TRAINING AND EDUCATIONAL SUPPORT SERVICES FOR THE EXTREMELY LOW-MODERATE INCOME HOUSEHOLDS.

THE MARKET ANALYSIS WITH REGARD TO THE NON-HOUSING RELATED COMMUNITY ASSETS IS DRIVEN SIGNIFICANTLY BY THE STATE'S INVESTMENT IN THE NANO UTICA INITIATIVE WHICH HAS CREATED NEW NEEDS FOR JOB TRAINING, EDUCATIONAL OPPORTUNITY ASSISTANCE, AND WORKFORCE PREPARATION ACROSS MULTIPLE AGE AND INCOME BRACKETS.

AS IS EVIDENT FROM THIS SUMMARY, AND WHICH WILL BECOME CLEARER FROM THE DETAILED ANALYSIS TO FOLLOW, THE CITY IS CURRENTLY ON THE CUSP OF A SIGNIFICANT CHANGE IN BOTH THE HOUSING AND ECONOMIC MARKETS. AS SUCH, THE NEEDS OF THE COMMUNITY ARE RAPIDLY INCREASING AND THE REHABILITATION AND DEVELOPMENT OF AFFORDABLE OF HOUSING FOR LOW/MODERATE INCOME, SPECIAL NEEDS POPULATIONS, AND HOMELESS INDIVIDUALS AND FAMILIES HAS BECOME AN EVEN GREATER NECESSITY THAN IN PREVIOUS YEARS.

MA-10 NUMBER OF HOUSING UNITS – 91.210(A)&(B)(2)

INTRODUCTION

THE DATA INCLUDED WITHIN THIS SUBSECTION DEMONSTRATES THAT WHILE THERE ARE A NUMBER OF AFFORDABLE HOUSING UNITS AVAILABLE WITHIN THE CITY OF UTICA, THERE IS A SUBSTANTIAL NEED FOR ADDITIONAL UNITS OF AFFORDABLE HOUSING.

ALL RESIDENTIAL PROPERTIES BY NUMBER OF UNITS

| PROPERTY TYPE | NUMBER | % |
|---------------------------------|--------|------|
| 1-UNIT DETACHED STRUCTURE | 11,080 | 40% |
| 1-UNIT, ATTACHED STRUCTURE | 500 | 2% |
| 2-4 UNITS | 11,040 | 40% |
| 5-19 UNITS | 2,175 | 8% |
| 20 OR MORE UNITS | 2,635 | 10% |
| MOBILE HOME, BOAT, RV, VAN, ETC | 130 | 0% |
| TOTAL | 27,560 | 100% |

TABLE 27 – RESIDENTIAL PROPERTIES BY UNIT NUMBER
2011-2015 ACS

DATA
SOURCE:

UNIT SIZE BY TENURE

| | OWNERS | | RENTERS | |
|--------------------|--------|------|---------|-----|
| | NUMBER | % | NUMBER | % |
| NO BEDROOM | 15 | 0% | 430 | 3% |
| 1 BEDROOM | 220 | 2% | 3,220 | 25% |
| 2 BEDROOMS | 1,715 | 16% | 3,825 | 30% |
| 3 OR MORE BEDROOMS | 9,020 | 82% | 5,175 | 41% |
| TOTAL | 10,970 | 100% | 12,650 | 99% |

TABLE 28 – UNIT SIZE BY TENURE
2011-2015 ACS

DATA
SOURCE:

DESCRIBE THE NUMBER AND TARGETING (INCOME LEVEL/TYPE OF FAMILY SERVED) OF UNITS ASSISTED WITH FEDERAL, STATE, AND LOCAL PROGRAMS.

PUBLIC HOUSING AUTHORITY UNITS: THERE ARE A TOTAL OF 1,072 UNITS PROVIDED THROUGH THE UTICA MUNICIPAL HOUSING AUTHORITY. 893 ARE PUBLIC HOUSING UNITS, 36 ARE HOPE VI STAND ALONE TAX CREDIT UNITS, 50 ARE LOW-INCOME HOUSING TAX CREDIT (ROOSEVELT RESIDENCES) AND 93 ARE PROJECT-BASED SECTION 8 (NEW YORK STATE PUBLIC HOUSING). THE UMHA HAS AVAILABLE 243 SECTION 8 (HOUSING CHOICE) VOUCHER UNITS. WITH REGARD TO PHYSICAL UNITS, OF WHICH THERE ARE 895, 410 ARE 1 BEDROOM, 274 ARE 2 BEDROOMS, 164 ARE 3 BEDROOMS, 45 ARE 4 BEDROOMS AND 2 ARE 5 OR MORE BEDROOM UNITS.

KENNEDY PLAZA APARTMENTS: KENNEDY PLAZA APARTMENTS CONTAINS 204 RENTAL UNITS RANGING FROM STUDIO TO TWO BEDROOMS, WITH THE VAST MAJORITY BEING ONE-BEDROOM UNITS. THE UNITS WERE REHABILITATED BY LIBERTY AFFORDABLE HOUSING IN 2011 WITH THE USE OF LOW INCOME HOUSING TAX CREDITS, STATE AFFORDABLE HOUSING FUNDS, PRIVATE INVESTMENT AND CITY OF UTICA HOME FUNDS. THEY ARE TARGETED, DUE TO THE PRESENCE OF LOW INCOME HOUSING TAX CREDITS, FOR INCOME LEVELS BELOW 60% AMI.

GENESEE CROSSINGS: IS A SCATTERED SITE AFFORDABLE RENTAL HOUSING PROJECT WHICH DEVELOPED 33 UNITS AT AFFORDABLE HOUSING TARGETED AT HOUSEHOLDS WITH AN INCOME AT OR BELOW 60% AMI. THE PROJECT USED LOW INCOME HOUSING TAX CREDIT, STATE AFFORDABLE HOUSING FUNDS, CITY HOME FUNDS AND PRIVATE INVESTMENT TO DEVELOP THE UNITS. NINE OF THE UNITS ARE ONE BEDROOM UNITS LOCATED AT A SINGLE ADDRESS AND TARGETED TOWARDS SENIOR CITIZENS. 10 ARE 2 BEDROOM UNITS AIMED AT SMALLER FAMILIES AND INDIVIDUALS. 6 ARE THREE BEDROOM UNITS AND 8 ARE FOUR BEDROOM UNITS AND ARE TARGETED AT LARGER FAMILIES.

JOHNSON PARK APARTMENTS: THROUGH THE USE OF HOME FUNDS, NEW YORK STATE FUNDS, AND PRIVATE INVESTMENT THE JOHNSON PARK CENTER MAINTAINS 29 RENTAL UNITS TARGETED AT EXTREMELY LOW INCOME WOMEN AND FAMILIES WHO SUFFER FROM MENTAL ILLNESS, ADDICTION AND/OR HAVE BEEN CHRONICALLY HOMELESS. 3 UNITS ARE EFFICIENCY UNITS, 17 ARE 1 BEDROOM UNITS, 4 ARE 2 BEDROOM UNITS, AND 5 ARE THREE BEDROOM UNITS. IN ADDITION TO PROVIDING SAFE AND AFFORDABLE HOUSING, JOHNSON PARK CENTER ALSO PROVIDES SUPPORT SERVICES TO AID WITH MENTAL HEALTH PROBLEMS, ADDICTION PROBLEMS, AND PREVENTION OF FUTURE HOMELESSNESS. IN 2020, GROUND WILL BE BROKEN ON PHASE VII OF THE JOHNSON PARK APARTMENTS PROGRAM, CREATING 60 AFFORDABLE RENTAL UNITS TARGETED PRIMARILY TOWARD THE ELDERLY AND WORKING FAMILIES.

LINCOLN AVE RENTAL: THROUGH THE USE OF CITY OF UTICA HOME FUNDS AND PRIVATE DEVELOPMENT, 3 AFFORDABLE RENTAL UNITS WERE CREATED THROUGH REHABILITATION OF A PROPERTY ACQUIRED FROM THE CITY OF UTICA URBAN RENEWAL AGENCY IN 2015.

WEST STREET APARTMENTS: THROUGH THE USE OF CITY OF UTICA HOME FUNDS, OTHER FEDERAL FUNDS, AND PRIVATE INVESTMENT, 42 UNITS WERE DEVELOPED (36 ARE 1BR UNITS AND 6 ARE 2BR UNITS) FOR THE WORKFORCE RENTAL COMMUNITY WITH SUPPORTIVE HOUSING UNITS.

ASTERI APARTMENTS: THROUGH THE USE OF CITY OF UTICA HOME FUNDS, OTHER FEDERAL FUNDS, AND PRIVATE INVESTMENT, 49 AFFORDABLE WORKFORCE UNITS WERE DEVELOPED (42 ARE 1BR UNITS AND 7 ARE 2BR UNITS) WITH A NUMBER OF UNITS DEDICATED TO INDIVIDUALS WITH DEVELOPMENTAL DISABILITIES.

PROVIDE AN ASSESSMENT OF UNITS EXPECTED TO BE LOST FROM THE AFFORDABLE HOUSING INVENTORY FOR ANY REASON, SUCH AS EXPIRATION OF SECTION 8 CONTRACTS.

NO HOUSING UNITS ARE ANTICIPATED TO BE LOST FROM THE INVENTORY OF AFFORDABLE HOUSING UNITS FOR ANY REASON AT THIS TIME.

DOES THE AVAILABILITY OF HOUSING UNITS MEET THE NEEDS OF THE POPULATION?

WHILE THERE ARE A SIGNIFICANT NUMBER OF AFFORDABLE HOUSING UNITS AVAILABLE WITHIN THE CITY OF UTICA, THERE IS STILL A NEED FOR MORE UNITS. ALTHOUGH THERE ARE 1,432 PHYSICAL UNITS OF AFFORDABLE RENTAL HOUSING THAT ARE REQUIRED TO BE SO DUE TO THE FEDERAL AND STATE FUNDS THEY RECEIVED, THERE ARE APPROXIMATELY 9,900 HOUSEHOLDS WITHIN THE CITY OF UTICA LIVING BELOW THE AREA MEDIAN INCOME. THERE ARE PRIVATE DEVELOPERS WHO DO MAINTAIN LOW RENTS, AS WELL AS SECTION 8 AND OTHER RENTAL ASSISTANCE PROGRAMS TO AID WITH RENTAL COSTS. HOWEVER, THE RENTAL ASSISTANCE PROGRAMS ALL REPORT 6-12 MONTH WAITING LISTS FOR VOUCHERS AND MANY OF THE PRIVATELY OWNED UNITS ARE SUBSTANDARD AND UNSAFE.

DESCRIBE THE NEED FOR SPECIFIC TYPES OF HOUSING:

THERE IS A NEED FOR BOTH RENTAL AND OWNERSHIP UNITS FOR AFFORDABLE HOUSING. WITH REGARD TO RENTAL HOUSING UNITS, THERE IS A SUBSTANTIAL NEED FOR UNITS THAT ARE TARGETED AT EXTREMELY LOW (0-30% AMI) AND VERY LOW INCOME PERSONS (30-50%) AS THESE HOUSEHOLDS HAVE THE HIGHEST COST BURDEN AND THE FEWEST AVAILABLE UNITS. THERE IS ALSO A SUBSTANTIAL NEED FOR HOUSING TARGETED AT SPECIAL NEEDS POPULATIONS INCLUDING THE ELDERLY, VETERANS, IMMIGRANT AND REFUGEE POPULATIONS AND THE DISABLED - BOTH DEVELOPMENTALLY AND PHYSICALLY.

WITH REGARD TO HOMEOWNERSHIP UNITS, THERE IS A NEED FOR AFFORDABLE UNITS WHICH CAN ACCOMMODATE LARGER SIZED FAMILIES. THERE IS ESPECIALLY A NEED FOR THESE UNITS WITHIN THE 60%-100% AMI INCOME RANGES. THIS IS DETERMINED BASED UPON COMMUNITY DISCUSSIONS AT PUBLIC MEETINGS, COMMUNITY NEEDS ASSESSMENT ROUNDTABLE EVENTS, AND THROUGH THE CITY OF UTICA URBAN RENEWAL AGENCY. THERE IS A SIGNIFICANT DESIRE FOR LARGER FAMILIES EARNING MODERATE INCOMES TO BECOME HOMEOWNERS; HOWEVER THE INITIAL COSTS CREATE A BARRIER TO ACHIEVING THAT GOAL.

DISCUSSION

MA-15 HOUSING MARKET ANALYSIS: COST OF HOUSING - 91.210(A)

INTRODUCTION

AS WILL BE EXPLAINED IN THIS SECTION, THE COST OF HOUSING WITHIN THE JURISDICTION HAS INCREASED SINCE THE BASE YEAR (2009) AT A SLOWER RATE COMPARED TO THE PREVIOUS BASE YEAR, WITH A \$8,200 INCREASE IN THE MEDIAN HOME VALUE AND A \$93 INCREASE IN THE MEDIAN CONTRACT RENT (COMPARED TO A \$40,000 INCREASE IN THE MEDIAN HOME VALUE AND A \$130 INCREASE IN THE MEDIAN CONTRACT RENT BETWEEN 2000 AND 2011). THESE NUMBERS ARE EXPECTED TO INCREASE SUBSTANTIALLY WITH THE ADVENT OF NANO-UTICA AND THE INCREASE IN HIGH PAYING TECH JOBS AND HIGHLY EDUCATED, HIGHLY PAID HOUSEHOLDS. ADDITIONALLY, FAIR MARKET RENTS AND AFFORDABLE HOME RENTS ARE NOT VERY FAR FROM EACH OTHER, AND IN MANY CASES THE AFFORDABLE RENTS ARE ACTUALLY HIGHER THAN THE FAIR MARKET RENTS. THIS COUPLED WITH THE ISSUES PERTAINING TO COST BURDEN AND SEVERE COST BURDEN INDICATE THAT THERE IS A NEED TO ENSURE THAT UNITS DEVELOPED ARE TRULY AFFORDABLE FOR THOSE IN NEED OF AFFORDABLE HOUSING.

COST OF HOUSING

| | BASE YEAR: 2009 | MOST RECENT YEAR: 2015 | % CHANGE |
|----------------------|-----------------|------------------------|----------|
| MEDIAN HOME VALUE | 81,000 | 89,200 | 10% |
| MEDIAN CONTRACT RENT | 443 | 536 | 21% |

TABLE 29 – COST OF HOUSING

DATA 2005-2009 ACS (BASE YEAR), 2011-2015 ACS (MOST RECENT YEAR)
SOURCE:

| RENT PAID | NUMBER | % |
|-----------------|--------|-------|
| LESS THAN \$500 | 5,315 | 42.0% |
| \$500-999 | 6,760 | 53.4% |
| \$1,000-1,499 | 315 | 2.5% |
| \$1,500-1,999 | 75 | 0.6% |
| \$2,000 OR MORE | 175 | 1.4% |
| TOTAL | 12,640 | 99.9% |

TABLE 30 - RENT PAID

DATA 2011-2015 ACS
SOURCE:

HOUSING AFFORDABILITY

| % UNITS AFFORDABLE TO HOUSEHOLDS EARNING | RENTER | OWNER |
|------------------------------------------|---------|---------|
| 30% HAMFI | 1,505 | NO DATA |
| 50% HAMFI | 5,555 | 2,010 |
| 80% HAMFI | 10,095 | 4,224 |
| 100% HAMFI | NO DATA | 5,532 |
| TOTAL | 17,155 | 11,766 |

DATA
SOURCE:

TABLE 31 – HOUSING AFFORDABILITY
2011-2015 CHAS

| MONTHLY RENT | | | | | |
|-------------------|-------------------------|-----------|-----------|-----------|-----------|
| MONTHLY RENT (\$) | EFFICIENCY (NO BEDROOM) | 1 BEDROOM | 2 BEDROOM | 3 BEDROOM | 4 BEDROOM |
| FAIR MARKET RENT | 556 | 608 | 786 | 985 | 1,072 |
| HIGH HOME RENT | 556 | 608 | 786 | 985 | 1,072 |
| LOW HOME RENT | 556 | 608 | 786 | 915 | 1,021 |

DATA
SOURCE:

TABLE 32 – MONTHLY RENT
HUD FMR AND HOME RENTS

IS THERE SUFFICIENT HOUSING FOR HOUSEHOLDS AT ALL INCOME LEVELS?

THERE IS NOT SUFFICIENT HOUSING AT ALL INCOME LEVELS. IN ANALYZING THE HOUSING AFFORDABILITY TABLE ABOVE AGAINST THE TABLE IDENTIFYING THE TOTAL HOUSEHOLDS IN EACH INCOME BRACKET FROM THE HOUSING NEEDS ASSESSMENT ABOVE, IT IS CLEAR THAT THERE IS INSUFFICIENT HOUSING AVAILABLE FOR THE EXTREMELY LOW AND LOW INCOME HOUSEHOLDS WITHIN THE JURISDICTION. THERE ARE ESTIMATED 5,830 HOUSEHOLDS EARNING BETWEEN 0-30% AMI, YET THERE ARE ONLY 1,505 UNITS OF AFFORDABLE RENTAL HOUSING FOR THOSE EARNING 30% AMI. FOR PEOPLE IN THE 30-80% AMI BRACKET THERE ARE ONLY 5,555 UNITS OF AFFORDABLE HOUSING DESPITE THERE BEING 8,630 HOUSEHOLDS.

HOW IS AFFORDABILITY OF HOUSING LIKELY TO CHANGE CONSIDERING CHANGES TO HOME VALUES AND/OR RENTS?

BETWEEN THE BASE YEAR AND THE CURRENT YEAR THE VALUE OF OWNERSHIP UNITS HAVE INCREASED BY APPROXIMATELY \$8,200.00 AND MEDIAN RENT HAS INCREASED BY ALMOST \$93. WITH REGARD TO HOMEOWNERSHIP UNITS, THIS IS STILL A LARGE INCREASE AND THEREFORE RESULTS IN HOMEOWNERSHIP UNITS BEING LESS AFFORDABLE. WITH REGARD TO RENTAL UNITS, THIS IS A RELATIVELY MODEST INCREASE IN THE BASE CONTRACT RENTS, HOWEVER THIS INCREASE NONETHELESS HAS A NEGATIVE EFFECT ON THE AFFORDABILITY OF UNITS AND CONTRIBUTES TO THE SUBSTANTIAL ISSUE RELATED TO COST BURDEN. FURTHERMORE, WITH THE ADVENT OF NANO-UTICA AND THE INCREASE IN HIGH PAYING TECH JOBS COMING TO THE AREA, IT IS PROJECTED THAT MEDIAN RENTAL COSTS WILL SUBSTANTIALLY INCREASE AND THEREFORE UNITS WILL BECOME INCREASINGLY LESS AFFORDABLE.

HOW DO HOME RENTS / FAIR MARKET RENT COMPARE TO AREA MEDIAN RENT? HOW MIGHT THIS IMPACT YOUR STRATEGY TO PRODUCE OR PRESERVE AFFORDABLE HOUSING?

HIGH HOME RENTS ARE IDENTICAL TO FAIR MARKET RENTS AND LOW HOME RENTS ARE EQUAL TO OR SLIGHTLY LOWER THAN FAIR MARKET RENTS (BY \$70-\$162 AFTER 2BR UNITS). GIVEN THIS FACT AND THE PROBLEM WITH REGARD TO COST BURDEN AND SEVERE COST BURDEN AMONGST THE LOWEST INCOME RENTERS, RENTAL DEVELOPMENT PROJECTS NEED TO BE SUBSTANTIALLY MORE FOCUSED ON AIMING AT LOWER RENT COSTS AND MORE LOW HOME UNITS. FURTHERMORE, BY

INCREASING REQUIREMENTS FOR PROVIDING LEVERAGED FUNDING SOURCES AND TENANT BASED SUBSIDY SOURCES, MORE TRULY AFFORDABLE UNITS CAN BE DEVELOPED. LOW INCOME HOUSING TAX CREDIT PROJECT ARE ESPECIALLY BENEFICIAL FOR RESOLVING THIS ISSUE AS THEY GENERALLY PROVIDE SUBSTANTIAL FUNDING OUTSIDE OF HOME AND TARGET TO LOWER INCOME HOUSEHOLDS.

DISCUSSION

GIVEN THE ABOVE ANALYSIS, IT IS CLEAR THAT NOT ONLY IS THERE A NEED FOR MORE AFFORDABLE HOUSING, BUT THAT EVEN WITH THE USE OF HOME FUNDS TO DEVELOP SUCH HOUSING, THERE NEEDS TO BE CONSIDERATION FOR THE FACT THAT THE HOME RENTS ARE NOT SIGNIFICANTLY MORE AFFORDABLE THAN THE FAIR MARKET RENTS AND THEREFORE DEVELOPERS SHOULD BE INCENTIVIZED AND ENCOURAGED TO PROVIDE UNITS AND AN EVEN LOWER RATE THAN WHAT HOME REQUIRES.

MA-20 HOUSING MARKET ANALYSIS: CONDITION OF HOUSING – 91.210(A)

INTRODUCTION

THE CONDITION OF THE CURRENT HOUSING STOCK WITHIN THE CITY OF UTICA IS SUBSTANDARD, ESPECIALLY WITH REGARD TO THE HOMES LIKELY OCCUPIED BY LOW/MODERATE INCOME HOUSEHOLDS. THIS ISSUE RESULTS SUBSTANTIALLY FROM THE AGE OF THE HOUSING STOCK, WHICH WAS PREDOMINATELY BUILT PRIOR TO 1980, WITH ABOUT HALF BEING BUILT BEFORE 1950.

DEFINITIONS

THE CITY OF UTICA DEFINES "SUBSTANDARD CONDITION" AND "SUBSTANDARD CONDITION BUT SUITABLE FOR REHABILITATION" IN THE FOLLOWING MANNER:

"STANDARD CONDITION"-A UNIT THAT MEETS OR EXCEEDS HUD'S SECTION 8 QUALITY STANDARDS.

"SUBSTANDARD CONDITION BUT SUITABLE FOR REHABILITATION" -A UNIT THAT DOES NOT MEET SECTION 8 QUALITY STANDARDS BUT COULD BE BROUGHT UP TO THOSE STANDARDS FOR LESS THAN THE UNIT'S REPLACEMENT COST.

| CONDITION OF UNITS | | | | |
|--------------------------------|----------------|-----|-----------------|------|
| CONDITION OF UNITS | OWNER-OCCUPIED | | RENTER-OCCUPIED | |
| | NUMBER | % | NUMBER | % |
| WITH ONE SELECTED CONDITION | 2,665 | 24% | 6,520 | 52% |
| WITH TWO SELECTED CONDITIONS | 50 | 0% | 325 | 3% |
| WITH THREE SELECTED CONDITIONS | 0 | 0% | 0 | 0% |
| WITH FOUR SELECTED CONDITIONS | 0 | 0% | 0 | 0% |
| NO SELECTED CONDITIONS | 8,255 | 75% | 5,805 | 46% |
| TOTAL | 10,970 | 99% | 12,650 | 101% |

TABLE 33 - CONDITION OF UNITS
2011-2015 ACS

DATA
SOURCE:

| YEAR UNIT BUILT | | | | |
|-----------------|----------------|------|-----------------|-----|
| YEAR UNIT BUILT | OWNER-OCCUPIED | | RENTER-OCCUPIED | |
| | NUMBER | % | NUMBER | % |
| 2000 OR LATER | 74 | 1% | 410 | 3% |
| 1980-1999 | 335 | 3% | 1,070 | 8% |
| 1950-1979 | 4,235 | 39% | 3,045 | 24% |
| BEFORE 1950 | 6,325 | 58% | 8,120 | 64% |
| TOTAL | 10,969 | 101% | 12,645 | 99% |

TABLE 34 – YEAR UNIT BUILT
2011-2015 CHAS

DATA
SOURCE:

RISK OF LEAD-BASED PAINT HAZARD

| RISK OF LEAD-BASED PAINT HAZARD | OWNER-OCCUPIED | | RENTER-OCCUPIED | |
|-------------------------------------------------------|----------------|-----|-----------------|-----|
| | NUMBER | % | NUMBER | % |
| TOTAL NUMBER OF UNITS BUILT BEFORE 1980 | 10,560 | 96% | 11,165 | 88% |
| | | | | |
| HOUSING UNITS BUILT BEFORE 1980 WITH CHILDREN PRESENT | 255 | 2% | 80 | 1% |

TABLE 35 – RISK OF LEAD-BASED PAINT

DATA 2011-2015 ACS (TOTAL UNITS) 2011-2015 CHAS (UNITS WITH CHILDREN PRESENT)
SOURCE:

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 2005-2009 CHAS
SOURCE:

NEED FOR OWNER AND RENTAL REHABILITATION

THERE ARE FOUR HOUSING CONDITIONS ANALYZED WHEN DETERMINING WHETHER OR NOT A HOUSEHOLD IS EXPERIENCING A HOUSING PROBLEM: (1) HOUSING UNIT LACKS COMPLETE KITCHEN FACILITIES; (2) HOUSING UNIT LACKS COMPLETE PLUMBING FACILITIES; (3) OVERCROWDING EXISTS WITHIN THE HOUSING UNIT (MORE THAN ONE PERSON PER ROOM); AND/OR (4) COST BURDEN IS GREATER THAN 30% OF THE HOUSEHOLD INCOME. IN REVIEWING THE DATA RELATIVE TO THE NEED FOR REHABILITATION, IT IS APPARENT THAT THERE IS A SUBSTANTIAL NEED FOR THE REHABILITATION OF UNITS WITHIN THE JURISDICTION. THIS NEED IS GREATEST WITHIN THE RENTAL HOUSING AREA OF THE JURISDICTION, IN WHICH 52% OF OCCUPANTS ARE REPORTED AS HAVING ONE OF THE CONDITIONS PRESENT. WITH REGARD TO HOMEOWNERS, 24% OF THE HOUSEHOLDS REPORT HAVING AT LEAST ONE CONDITION PRESENT (AN INCREASE IN BOTH CATEGORIES). AS DEMONSTRATED BY THE ATTACHED MAP, THE ISSUE IS WIDESPREAD THROUGHOUT THE CITY, WITH A SIGNIFICANT NEED IN BOTH WEST UTICA AND THE CORNHILL NEIGHBORHOOD.

ESTIMATED NUMBER OF HOUSING UNITS OCCUPIED BY LOW OR MODERATE INCOME FAMILIES WITH LBP HAZARDS

ANALYZING THE CONCENTRATION OF RENTAL HOUSING BUILT PRIOR TO 1980 AS IT CORRESPONDS WITH THE CONCENTRATIONS OF POVERTY, IT IS CLEAR THAT THERE IS SUBSTANTIAL OVERLAP OCCURRING WHICH INDICATES THAT THE MAJORITY OF LOW/MODERATE INCOME FAMILIES LIVING ARE LIVING IN RESIDENTS THAT HAVE LEAD-BASED HAZARDS. THE

CITY ESTIMATES THAT 75-90% OF LOW/MODERATE INCOME FAMILIES ARE LIVING IN HOMES CONTAINING LEAD-BASED PAINT HAZARDS.

DISCUSSION

MA-25 PUBLIC AND ASSISTED HOUSING – 91.210(B)
INTRODUCTION

THE UTICA MUNICIPAL HOUSING AUTHORITY (UMHA) IS ONE OF THE TOP PERFORMING HOUSING AUTHORITIES AND IS CONSTANTLY IMPROVING ITS HOUSING STOCK AND THE QUALITY OF LIFE FOR THEIR RESIDENTS. THE UMHA IS COMMITTED TO INVESTING IN ITS PROPERTIES AND MODERNIZING ITS PORTFOLIO. THE UMHA ANTICIPATES CONTINUED MAJOR REDUCTIONS IN THE HUD CAPITAL FUND PROGRAM WHICH PROVIDES FUNDING FOR MODERNIZATION IMPROVEMENTS. A SIGNIFICANT AMOUNT OF FUNDING IS NEEDED TO UPGRADE ITS APARTMENT UNITS. IN RESPONSE TO THESE CHALLENGES, THE UMHA IS DEVELOPING A STRATEGY TO COMPENSATE FOR THE LOSS OF FEDERAL FUNDING. THE UMHA IS SUBMITTING APPLICATIONS TO THE HUD RENTAL ASSISTANCE DEMONSTRATION PROGRAM TO CONVERT PUBLIC HOUSING PROPERTIES INTO MIXED FINANCE/PROJECT BASED SECTION 8 DEVELOPMENTS TO ENSURE A STABLE INCOME STREAM. IN ADDITION, THE UMHA WILL BE APPLYING FOR LOW INCOME HOUSING TAX CREDITS AND OTHER PUBLIC AND PRIVATE FUNDING TO FINANCE PROPERTY IMPROVEMENTS AT ITS DEVELOPMENTS. UMHA CONTINUES TO IMPROVE MAINTENANCE AT ITS DEVELOPMENTS, INCREASE SECURITY MEASURES, MAINTAIN AND EXPAND RESIDENT SERVICE PROGRAMS, DEVELOP NEW HOUSING UNITS, AND PROVIDE EXEMPLARY CUSTOMER SERVICE.

TOTALS NUMBER OF UNITS

| PROGRAM TYPE | | | | | | | | | |
|-------------------------------|-------------|-----------|----------------|----------|-----------------|----------------|-------------------------------------|----------------------------|------------|
| | CERTIFICATE | MOD-REHAB | PUBLIC HOUSING | VOUCHERS | | | | | |
| | | | | TOTAL | PROJECT - BASED | TENANT - BASED | SPECIAL PURPOSE VOUCHER | | |
| | | | | | | | VETERANS AFFAIRS SUPPORTIVE HOUSING | FAMILY UNIFICATION PROGRAM | DISABLED * |
| # OF UNITS VOUCHERS AVAILABLE | | | 893 | | 93 | 243 | 0 | 0 | 30 |
| # OF ACCESSIBLE UNITS | | | 18 | | | | | | |

*INCLUDES NON-ELDERLY DISABLED, MAINSTREAM ONE-YEAR, MAINSTREAM FIVE-YEAR, AND NURSING HOME TRANSITION

TABLE 37 – TOTAL NUMBER OF UNITS BY PROGRAM TYPE

ALTERNATE DATA SOURCE NAME:
GENERAL COMMUNITY SURVEY

DATA SOURCE
COMMENTS:

DESCRIBE THE SUPPLY OF PUBLIC HOUSING DEVELOPMENTS:

DESCRIBE THE NUMBER AND PHYSICAL CONDITION OF PUBLIC HOUSING UNITS IN THE JURISDICTION, INCLUDING THOSE THAT ARE PARTICIPATING IN AN APPROVED PUBLIC HOUSING AGENCY PLAN:

THE UMHA OWNS, MANAGES, AND SUPERVISES A TOTAL OF 1,072 UNITS. OF THAT NUMBER, 893 ARE PUBLIC HOUSING UNITS, 36 ARE HOPE VI STAND ALONE TAX CREDIT UNITS, 50 ARE LOW-INCOME HOUSING TAX CREDIT (ROOSEVELT RESIDENCES), AND 93 ARE PROJECT-BASED SECTION 8 (NEW YORK STATE PUBLIC HOUSING).

BOTH THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA, NY LOW INCOME PUBLIC HOUSING PROGRAM AND SECTION 8 (HOUSING CHOICE VOUCHER) PROGRAM HAVE HOMELESS AND DOMESTIC VIOLENCE PREFERENCES.

OUR AMERICORPS HOUSING OPPORTUNITY CENTER ASSISTS OVER 500 PEOPLE EACH YEAR OBTAIN OR MAINTAIN HOUSING, ACCESS HOUSING ASSISTANCE PROGRAMS, PREVENT EVICTIONS, AND HELP THE HOMELESS TO FIND SHELTER.

THE FOLLOWING IS A LIST OF THE DEVELOPMENTS OWNED, MANAGED, OR OVERSEEN BY THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA NEW YORK (UMHA):

- PERRETTA TWIN TOWERS – 108 UNITS - LOW INCOME PUBLIC HOUSING (LIPH) – SENIOR/DISABLED
- MARINO-RUGGERIO APARTMENTS 50 UNITS -LIPH – SENIOR/DISABLED
- GILLMORE VILLAGE – 190 UNITS – LIPH MULTI-FAMILY
- DUPLEX HOMES – 10 UNITS - LIPH MULTI-FAMILY
- 819 HAMILTON STREET APARTMENTS – 9 UNITS - LIPH MULTI-FAMILY
- F. X. MATTS – 66 UNITS - LIPH MULTI-FAMILY
- ADREAN TERRACE – 200 UNITS - LIPH MULTI-FAMILY
- N.D. PETERS MANOR – 92 UNITS - LIPH MULTI-FAMILY
- HUMPHREY GARDENS – 122 UNITS - LIPH MULTI-FAMILY
- CHANCELLOR APARTMENTS – 93 UNITS- PROJECT-BASED SECTION 8 VOUCHER NYS SENIOR-DISABLED PUBLIC HOUSING

- STEUBEN VILLAGE HOPE VI MIXED FINANCE DEVELOPMENT – HOPE VI MIXED FINANCE – 49 LOW-INCOME HOUSING TAX CREDIT (LIHTC) UNITS (25 PUBLIC HOUSING)
- RUTGER MANOR HOPE VI MIXED FINANCE DEVELOPMENT HOPE VI MIXED FINANCE – 33 LOW-INCOME HOUSING TAX CREDIT (LIHTC) UNITS (21 PUBLIC HOUSING)

MUCH OF THE UMHA HOUSING PORTFOLIO NEEDS REALIGNMENT, RENOVATION, AND REDEVELOPMENT TO ENSURE ITS LONG-TERM VIABILITY. IN RESPONSE, UMHA HAS ELECTED TO CREATE A PORTFOLIO OPERATING, DEVELOPMENT AND MANAGEMENT STRATEGY THAT WILL MEET THE MISSION AND GOALS OF UMHA.

THE RENTAL ASSISTANCE DEMONSTRATION (RAD) IS A PROGRAM OF THE OFFICE OF RECAPITALIZATION IN THE OFFICE OF MULTIFAMILY HOUSING PROGRAMS AT HUD. AUTHORIZED BY CONGRESS IN 2012, RAD ALLOWS PUBLIC HOUSING AGENCIES AND OWNERS OF OTHER HUD-ASSISTED PROPERTIES TO CONVERT UNITS FROM THEIR ORIGINAL SOURCES OF HUD FINANCING TO PROJECT-BASED SECTION 8 CONTRACTS. THESE NEW CONTRACTS PROVIDE A MORE RELIABLE SOURCE OF OPERATING SUBSIDY THAT ENABLES PROPERTY OWNERS TO LEVERAGE PRIVATE CAPITAL, SUCH AS DEBT AND EQUITY, TO FINANCE NEW CONSTRUCTION AND/OR REHABILITATION OF RENTAL HOUSING.

OUR RAD PROJECT INVOLVES THE REVITALIZATION (REHABILITATION, DEMOLITION, AND NEW CONSTRUCTION) OF THE UMHA PUBLIC HOUSING DEVELOPMENTS. THE UMHA WILL CONVERT ITS UNITS FROM SECTION 9 PUBLIC HOUSING TO PROJECT-BASED SECTION 8 SUBSIDIES. THE PROJECT IS CURRENTLY IN A PLANNING PHASE. COST ESTIMATES, ARCHITECTURAL PLANS, AND FINANCING WILL BE FINALIZED THIS SPRING. HUD HAS AWARDED CHAPS FOR TWO OF ITS DEVELOPMENTS - (GILMORE/HUMPHREY/HAMILTON/DUPLEX (164 UNITS) AND PERRETTA TWIN TOWERS AND MARINO-RUGGIERO (242 UNITS). A PORTFOLIO RESERVATION HAS BEEN MADE FOR THE 487 REMAINING UNITS. THE PROJECT WILL INVOLVE RELOCATION OF ITS EXISTING RESIDENTS. FINANCING FOR THE PROJECT IS LIKELY TO CONSIST OF 4% AND 9% LOW INCOME HOUSING TAX CREDITS, FHA LOANS, FEDERAL HOME LOAN BANK, COMMUNITY DEVELOPMENT BLOCK GRANT, AND PRIVATE FOUNDATION GRANTS. THE UMHA WILL SEEK FINANCING IN PHASES AND OVER SEVERAL YEARS TO ENHANCE ITS LIKELIHOOD TO RECEIVE FUNDING.

PUBLIC HOUSING CONDITION

| PUBLIC HOUSING DEVELOPMENT | AVERAGE INSPECTION SCORE |
|----------------------------|--------------------------|
| | |

TABLE 38 - PUBLIC HOUSING CONDITION

DESCRIBE THE RESTORATION AND REVITALIZATION NEEDS OF PUBLIC HOUSING UNITS IN THE JURISDICTION:

PUBLIC HOUSING HAS TRADITIONALLY SERVED AS THE LAST RESORT FOR THE VERY POOR WHO SIMPLY CANNOT FIND VIABLE HOUSING ELSEWHERE. NOT ONLY IS THERE A GUARANTEED LOW RENT AND NO MOVE IN COSTS, BUT TENANT PROTECTIONS AND A LANDLORD — A MUNICIPAL CORPORATION — THAT IS ACCOUNTABLE TO THE PUBLIC MAKE PUBLIC HOUSING A VALUABLE RESOURCE. PUBLIC HOUSING SERVES AS IMPORTANT PART OF THE SOCIAL SAFETY NET. ONCE UNITS ARE LOST, THEY WILL NOT BE REPLACED. PRESERVING THESE UNITS IS CRITICAL TO MAINTAINING A COMMUNITY’S AFFORDABLE HOUSING STOCK.

FEDERAL SUBSIDIES HAVE PROVIDED THE MAJOR SOURCE OF FUNDING FOR REHABILITATION OF THE UMHA PUBLIC HOUSING STOCK. FOR DECADES, THIS FINANCING HAS CONTINUED TO BE SIGNIFICANTLY CUT. PUBLIC HOUSING HAS WITNESSED SINCE 2010, A 35 PERCENT DECREASE IN FEDERAL FUNDING. AS A RESULT, VITAL PROJECTS WHICH PREVENT THE DETERIORATION OF BUILDING SYSTEMS HAVE BEEN DELAYED, WHICH HAS, IN TURN, HAS CREATED AN EVER INCREASING BACKLOG OF CAPITAL PROJECTS. IF THESE CAPITAL NEEDS ARE NOT ADDRESSED ON A TIMELY BASIS, REHABILITATION COSTS WILL INCREASE IN THE FUTURE, PUTTING INTO JEOPARDY THE LONG-TERM VIABILITY OF OUR PROJECTS.

THE UMHA FACES APPROXIMATELY \$23 MILLION IN UNMET CAPITAL NEEDS TO REPAIR AND RENOVATE ITS INVENTORY. SUFFICIENT INVESTMENT IN THESE PROPERTIES WILL PRESERVE THEM FOR DECADES TO COME.

THE UMHA IS COMMITTED TO INVESTING IN ITS PROPERTIES AND MODERNIZING OUR PORTFOLIO. DESPITE RECENT FUNDING INCREASES, WE ANTICIPATE CONTINUED MAJOR REDUCTIONS IN THE HUD CAPITAL FUND PROGRAM WHICH PROVIDES FUNDING FOR MODERNIZATION IMPROVEMENTS. A SIGNIFICANT AMOUNT OF FUNDING IS NEEDED TO UPGRADE OUR RENTAL APARTMENT UNITS.

IN ORDER TO MEET THIS CHALLENGE, THE UMHA HAS MADE APPLICATION TO HUD FOR THE RAD CONVERSION OF ITS PORTFOLIO. OUR RAD PROGRAM WILL INVOLVE THE CONVERSION OF OUR ENTIRE PUBLIC HOUSING PORTFOLIO TO A FORM OF PROJECT-BASED SECTION 8-TYPE VOUCHER PROGRAM. THIS WILL ALLOW THE UMHA TO LEVERAGE LOW INCOME HOUSING TAX CREDITS AND DEBT TO FUND NEAR AND LONG-TERM REHABILITATION NEEDS OF HOUSING DEVELOPMENTS. THE SECTION 8 PROJECT-BASED PROGRAM HAS NOT BEEN SIGNIFICANTLY IMPACTED BY FUNDING CUTS COMPARED TO PUBLIC HOUSING PROGRAMS.

FUTURE CFP FUNDS WILL BE USED TO FUND ACTIVITIES RELATED TO THE REHABILITATION OF UNITS CONSISTENT WITH THE RAD INITIATIVE.

IN 2019, THE UMHA INTENDS TO APPLY TO THE NEW YORK PUBLIC HOUSING MODERNIZATION PROGRAM TO CONTINUE TO MAKE UPGRADES TO ITS PROJECT-BASED SECTION 8 CHANCELLOR APARTMENTS.

DESCRIBE THE PUBLIC HOUSING AGENCY'S STRATEGY FOR IMPROVING THE LIVING ENVIRONMENT OF LOW- AND MODERATE-INCOME FAMILIES RESIDING IN PUBLIC HOUSING:

1. ENHANCE THE QUALITY AND DELIVERY OF MAINTENANCE SERVICES

THE UMHA WILL EXPLORE METHODS TO INCREASE UNIT TURNAROUND TIME, CONTINUE TO AUTOMATE WORK ORDER PROCESSING, PROVIDE CUSTOMER FOLLOW-UP MONITORING OF WORK ORDERS, ENHANCE PREVENTIVE MAINTENANCE ACTIVITIES, HIRING ADDITIONAL MAINTENANCE STAFF, DEVELOPING PREVENTIVE MAINTENANCE PLANS, RECONFIGURE SENIOR MAINTENANCE POSITIONS, AND UPGRADE THE TRAINING OF MAINTENANCE STAFF.

AS PART OF THE RAD CONVERSION PROCESS, THE UMHA WILL DEVELOP NEW MAINTENANCE POLICIES, PROTOCOLS, AND PROCEDURES TO ENSURE THAT THE DEVELOPMENTS EXCEED HUD STANDARDS.

1. CONTINUE TO IMPLEMENT SECURITY IMPROVEMENTS AND STRATEGIES SUCH AS SURVEILLANCE CAMERAS AND RESIDENT CRIME PREVENTION TRAINING TO IMPROVE SAFETY AND REDUCE CRIME.

THE UMHA WILL CONTINUE TO IMPLEMENT INITIATIVES TO PROMOTE SAFETY AND SECURITY AT OUR DEVELOPMENTS AND WILL EXPLORE THE DEVELOPMENT OF COMMUNITY COLLABORATIONS TO PROMOTE SAFETY AND SECURITY AT OUR DEVELOPMENTS. IN 2020, THE UMHA INTENDS TO SEEK ADDITIONAL FUNDING FOR RESIDENT SAFETY INITIATIVES AND WILL HELP RESIDENTS ORGANIZE NEIGHBORHOOD WATCH AND CRIME PREVENTION EDUCATION PROGRAMS.

1. IMPROVE CUSTOMER SERVICE FOR UMHA RESIDENTS

THE UMHA INTENDS TO ENSURE THAT OUR STAFF CONTINUES TO PROVIDE A CONSISTENT, RELIABLE AND PROFESSIONAL STANDARD FOR EACH INTERACTION WITH CUSTOMERS, A PHILOSOPHY WHICH IS EMBEDDED IN OUR “QUALITY OF LIFE MANAGEMENT” INITIATIVE.

WE HAVE DEVELOPED NEW RESIDENT INITIATIVES SUCH AS PERIODIC UNIT INSPECTIONS, ONE-TO-ONE COUNSELING SESSIONS FOR THOSE TENANTS WITH RENT ARREARS, FREQUENT MEETINGS AT OUR HOUSING DEVELOPMENTS TO OBTAIN RESIDENT INPUT, NEWSLETTERS, CREATION OF EFFECTIVE COMMUNICATION CHANNELS BETWEEN MANAGEMENT AND RESIDENTS, AND THE IMPLEMENTATION OF QUALITY CONTROL AND MONITORING TO ENSURE THAT OUR MAINTENANCE DEPARTMENT RESPONDS TO TENANT MAINTENANCE REQUESTS AS QUICKLY AS POSSIBLE.

THE UMHA HAS INCORPORATED COMMUNITY BUILDING AND CREATING A SENSE OF PLACE INTO ITS MANAGEMENT PRACTICES. THIS INVOLVES DEVELOPING OPPORTUNITIES FOR RESIDENTS TO PLAN AND TAKE PART IN DEVELOPING COMMUNITY ACTIVITIES THAT BUILD NEIGHBORHOOD COHESION.

THE UMHA WILL CONTINUE TO IMPLEMENT CHANGES TO ITS INTAKE AND RECERTIFICATION SYSTEM BY SIMPLIFYING FORMS, PROCEDURES AND OTHER IMPROVEMENTS TO INCREASE PROCESSING TIME AND IMPROVE THE CUSTOMER SERVICE EXPERIENCE. THE UMHA WILL EXPLORE CREATING ON-LINE SYSTEMS FOR PROSPECTIVE TENANTS AND RESIDENTS TO USE TO FILE APPLICATIONS AND REQUEST SERVICES. A MAJOR GOAL WILL BE TO DIGITALIZE AND AUTOMATE RESIDENT SCREENING, ELIGIBILITY DETERMINATION, APPLICATION, AND RECERTIFICATION SYSTEMS TO ENHANCE CUSTOMER SERVICE

DISCUSSION:

AS DESCRIBED ABOVE, THE NEEDS OF UMHA ARE SIGNIFICANT; HOWEVER THEY ARE CONSISTENTLY WORKING TO PROVIDE MORE UNITS, INCREASE THE QUALITY OF LIFE OF THEIR RESIDENTS, AND IMPROVE AND ADD TO THEIR PHYSICAL PORTFOLIO.

MA-30 HOMELESS FACILITIES AND SERVICES – 91.210(c)

INTRODUCTION

THE CITY OF UTICA IS SLATED TO RECEIVE \$215,750 IN EMERGENCY SOLUTIONS GRANT FUNDING DURING THE 2020-2021 PROGRAM YEAR. THESE FUNDS ARE USED TO RAPIDLY RE-HOUSE HOMELESS PERSONS AND FAMILIES AND TO PREVENT HOMELESSNESS FOR PERSONS AND FAMILIES AT IMMINENT RISK. WITH THIS FUNDING, THE CITY OF UTICA HAS PROPOSED ASSISTING EIGHT (8) PROGRAMS ADMINISTERED BY SIX (6) SUB-RECIPIENT AGENCIES AND DESIGNED TO ASSIST HOMELESS PERSONS AND FAMILIES AND THOSE AT IMMINENT RISK OF BECOMING HOMELESS. GIVEN THE VERY NOMINAL AMOUNT OF FUNDING THAT THE CITY RECEIVES, SPREAD AMONG EIGHT DIFFERENT PROGRAMS, THE IMPACT OF THE FUNDING IS LIMITED.

THE PROGRAMS/ACTIVITIES TO BE FUNDED WITH THE CITY'S ESG ENTITLEMENT INCLUDE:

YWCA (\$40,000) TO OPERATE THE HALL HOUSE SHELTER FOR FEMALE VICTIMS OF DOMESTIC VIOLENCE AND THEIR CHILDREN.

JOHNSON PARK CENTER (\$33,500) TO CONTINUE FUNDING FOR THE EMERGENCY/TRANSITIONAL HOUSING PROGRAM FOR FEMALES WHO MAY HAVE BEEN EX-OFFENDERS OR SUBSTANCE ABUSERS AND THE CHRONICALLY HOMELESS.

RESCUE MISSION OF UTICA (\$15,000) TO OPERATE A MEN'S SHELTER.

ICAN (\$34,727) FOR THEIR EVELYN'S HOUSE TO EXPAND OPERATIONS OF THEIR 7-BED SHELTER FOR PREGNANT AND PARENTING TEENAGE MOTHERS WITH A RAPID REHOUSING COMPONENT (THIS GRANT INCLUDES \$31,730 OF FY2015 FUNDS THAT HAVE BEEN RE-ALLOCATED). THIS COMPONENT OF THE CITY OF UTICA'S EMERGENCY SOLUTIONS GRANT COMPLIES WITH THE MINIMUM 40% RAPID-REHOUSING REQUIREMENT.

UTICA MUNICIPAL HOUSING AUTHORITY (\$64,832) TO OPERATE THE RAPID-REHOUSING AND (\$21,240) TO OPERATE THE HOMELESS OUTREACH SERVICES PORTION OF THE PROGRAM. THIS COMPONENT OF THE CITY OF UTICA'S EMERGENCY SOLUTIONS GRANT COMPLIES WITH THE MINIMUM 40% RAPID-REHOUSING REQUIREMENT.

UTICA CENTER FOR DEVELOPMENT (\$8,000) TO OPERATE THEIR RAPID RE-HOUSING PROGRAM AND (\$4,000) TO OPERATE THEIR HOMELESS PREVENTION SERVICES PORTION OF THE PROGRAM. THIS COMPONENT OF THE CITY OF UTICA'S EMERGENCY SOLUTIONS GRANT COMPLIES WITH THE MINIMUM 40% RAPID-REHOUSING REQUIREMENT.

UNITED WAY (\$10,000) FOR HMIS PURPOSES

ADDITIONALLY, THE CITY INTENDS TO FULLY UTILIZE THE HUD-REGULATED MAXIMUM 7.5% ADMINISTRATIVE CAP WHICH TOTALS \$16,181 FOR THE 2020-2021 PROGRAM YEAR.

THE CITY WILL CONTINUE TO ADDRESS HOMELESSNESS PREVENTION WITHIN THE CITY OF UTICA BY PROVIDING FUNDS TO UTICA MUNICIPAL HOUSING AUTHORITY'S RAPID REHOUSING PROGRAM AND HOMELESS STREET OUTREACH ACTIVITIES, AND THE UTICA CENTER FOR DEVELOPMENT WILL ALSO ADMINISTER AND IMPLEMENT USE OF RAPID REHOUSING FUNDS SPECIFICALLY FOR HOMELESS VETERANS AND THEIR FAMILIES.

FACILITIES AND HOUSING TARGETED TO HOMELESS HOUSEHOLDS

| | EMERGENCY SHELTER BEDS | | TRANSITIONAL HOUSING BEDS | PERMANENT SUPPORTIVE HOUSING BEDS | |
|-----------------------------------------|---------------------------------|------------------------------------|---------------------------|-----------------------------------|-------------------|
| | YEAR ROUND BEDS (CURRENT & NEW) | VOUCHER / SEASONAL / OVERFLOW BEDS | CURRENT & NEW | CURRENT & NEW | UNDER DEVELOPMENT |
| HOUSEHOLDS WITH ADULT(S) AND CHILD(REN) | 33 | 0 | 20 | 238 | 0 |
| HOUSEHOLDS WITH ONLY ADULTS | 94 | 0 | 4 | 358 | 0 |
| CHRONICALLY HOMELESS HOUSEHOLDS | 0 | 0 | 0 | 41 | 0 |
| VETERANS | 0 | 0 | 10 | 24 | 0 |
| UNACCOMPANIED YOUTH | 11 | 0 | 7 | 0 | 3 |

TABLE 39 - FACILITIES AND HOUSING TARGETED TO HOMELESS HOUSEHOLDS

DATA SOURCE

COMMENTS:

DESCRIBE MAINSTREAM SERVICES, SUCH AS HEALTH, MENTAL HEALTH, AND EMPLOYMENT SERVICES TO THE EXTENT THOSE SERVICES ARE USED TO COMPLEMENT SERVICES TARGETED TO HOMELESS PERSONS

MENTAL HEALTH - THE KEY STAKEHOLDERS AND/OR COLLABORATING AGENCIES ARE THE NY STATE OFFICE OF MENTAL HEALTH, ST. LUKE'S AND ST. ELIZABETH'S HOSPITAL, ROME COMMUNITY HOSPITAL, THE ONEIDA COUNTY DEPARTMENT OF MENTAL HEALTH, CATHOLIC CHARITIES OF ONEIDA AND MADISON COUNTIES, NEIGHBORHOOD CENTER, UPSTATE CEREBRAL PALSY, HUMAN TECHNOLOGIES CORPORATION, RESCUE MISSION OF UTICA AND CENTRAL NEW YORK SERVICES, INC.

EMPLOYMENT - 75% OF HOMELESS ASSISTANCE PROVIDERS SUPPLY TRANSPORTATION ASSISTANCE TO CLIENTS TO ATTEND MAINSTREAM BENEFIT APPOINTMENTS, EMPLOYMENT TRAINING, OR JOBS. 100% OF HOMELESS ASSISTANCE PROVIDERS USE A SINGLE APPLICATION FORM FOR FOUR OR MORE MAINSTREAM PROGRAMS. 100% OF HOMELESS ASSISTANCE PROVIDERS HAVE STAFF SYSTEMATICALLY FOLLOW-UP TO ENSURE MAINSTREAM BENEFITS ARE RECEIVED. WE ARE NOW GREATLY EXCEEDING HUD TARGETS FOR THE EMPLOYMENT OF HOMELESS PERSONS EXITING SUPPORTIVE HOUSING PROGRAMS IN OUR CoC. WE HAVE ACCOMPLISHED THIS BY STRENGTHENING EXISTING PROGRAMS DESIGNED TO SUPPORT HOMELESS INDIVIDUALS AS THEY SEEK EMPLOYMENT, AND BY AGGRESSIVELY PURSUING AND OBTAINING GRANT FUNDING FROM THE U.S. DEPARTMENT OF LABOR TO SERVE EX-OFFENDERS WHO ARE UNEMPLOYED (EX-OFFENDERS ARE A SIGNIFICANT PORTION OF OUR HOMELESS POPULATION). SEVERAL EMPLOYMENT PROGRAMS FOR THE HOMELESS HAVE BEEN IN PLACE SINCE 2007 INCLUDING "JOBS AND HOPE FOR HOMELESS VETERANS" FUNDED BY THE US DEPARTMENT OF LABOR; AND A "SECOND START" EMPLOYMENT PROGRAM FOR YOUTH AGE 16-19 WHO ARE EXITING ONEIDA COUNTY JAIL

HEALTHCARE - THE KEY STAKEHOLDERS AND/OR COLLABORATING AGENCIES RESPONSIBLE FOR ENSURING THAT PERSONS ARE NOT ROUTINELY DISCHARGED FROM HEALTHCARE FACILITIES INTO HOMELESSNESS ARE ST. LUKE'S AND ST. ELIZABETH'S HOSPITAL, ROME COMMUNITY HOSPITAL, THE ONEIDA AND MADISON COUNTY DEPARTMENTS OF SOCIAL SERVICES, OF HEALTH AND MENTAL HEALTH, AND ADULT PROTECTIVE SERVICES PROGRAM MANAGED BY THEIR RESPECTIVE DEPARTMENTS OF SOCIAL SERVICES. ALSO, FOR OUR AGING POPULATION EXITING HOSPITALS AND NURSING HOMES, THE ONEIDA COUNTY OFFICE FOR AGING AND CONTINUING CARE AND RESOURCE CENTER FOR INDEPENDENT LIVING (A CoC BOARD MEMBER) ARE RESPONSIBLE FOR SERVING THOSE WHO ARE DISCHARGED FROM NURSING HOMES

LIST AND DESCRIBE SERVICES AND FACILITIES THAT MEET THE NEEDS OF HOMELESS PERSONS, PARTICULARLY CHRONICALLY HOMELESS INDIVIDUALS AND FAMILIES, FAMILIES WITH CHILDREN, VETERANS AND THEIR FAMILIES, AND UNACCOMPANIED YOUTH. IF THE SERVICES AND FACILITIES ARE LISTED ON SCREEN SP-40 INSTITUTIONAL DELIVERY STRUCTURE OR SCREEN MA-35 SPECIAL NEEDS FACILITIES AND SERVICES, DESCRIBE HOW THESE FACILITIES AND SERVICES SPECIFICALLY ADDRESS THE NEEDS OF THESE POPULATIONS.

HOMELESS VETERANS - OUR CoC CHAIR DID RESEARCH ON VETERAN'S BEHAVIORAL HEALTH ISSUES RELATED TO HOMELESSNESS AND HAS PRESENTED THIS WORK AT COMMUNITY MEETINGS TO RAISE AWARENESS AND ENCOURAGE LOCAL PROVIDERS TO REACH OUT AND SERVE VETERANS WHO RETURN TO OUR CoC AND EXPERIENCE MENTAL HEALTH, SUBSTANCE ABUSE, AND FAMILY PROBLEMS THAT CAN RESULT IN HOMELESSNESS. OUR MUNICIPAL HOUSING AUTHORITY HAS IMPLEMENTED A HOMELESS STREET OUTREACH PROGRAM WITH AMERICORPS MEMBERS TO IDENTIFY HOMELESS INDIVIDUALS WITH THE GOAL OF SENDING THEM THROUGH A COORDINATED INTAKE PROCESS. THE UTICA CENTER FOR DEVELOPMENT SPECIALIZES IN WORKING SPECIFICALLY WITH HOMELESS OR AT-RISK VETERANS.

CHRONICALLY HOMELESS PERSONS WITH A SERIOUS MENTAL HEALTH DISABILITY:

THE NEED FOR SUPPORTIVE HOUSING FOR CHRONICALLY HOMELESS PERSONS WITH A SERIOUS MENTAL HEALTH DISABILITY IN OUR CoC IS STILL STRONG. UNMET HOUSING NEEDS FOR THIS POPULATION HAVE GROWN DRAMATICALLY AS OUR STOCK OF AFFORDABLE SRO HOUSING HAS DECLINED IN THE COMMUNITY. OUR EFFORTS RESULTED IN A HOME GRANT FROM THE

CITY OF UTICA TO REHABILITATE TWO PROPERTIES AND PROVIDE 8 UNITS OF PERMANENT SUPPORTIVE HOUSING TO SERVE THIS POPULATION.

YOUTH SUPPORTIVE HOUSING:

YOUTH AGE 16-21 IS A SIGNIFICANT PORTION OF OUR LOCAL HOMELESS POPULATION AND ARE A PARTICULAR CHALLENGE TO LOCATE AND SERVE BECAUSE THEY OFTEN MAKE EFFORTS TO AVOID LOCAL SERVICE PROVIDERS, EVEN WHEN HOMELESS. IN THE PAST YEAR, WE HAVE OPENED THE FIRST SUPPORTIVE HOUSING PROGRAM (GRADY'S WAY) FOR HOMELESS BOYS AND TEEN MALES IN UTICA.

MA-35 SPECIAL NEEDS FACILITIES AND SERVICES – 91.210(d)

INTRODUCTION

DURING PREVIOUS COMMUNITY NEEDS ASSESSMENT ROUNDTABLE DISCUSSIONS, A NUMBER OF VARIOUS SUPPORTIVE HOUSING NEEDS AND SERVICES WERE IDENTIFIED. THIS SECTION OF THE CITY OF UTICA'S 2020 – 2024 CONSOLIDATED PLAN BRIEFLY DISCUSSES THOSE NEEDS AND ACTIONS TAKEN TO DATE.

THE CITY OF UTICA IS HOME TO A SIGNIFICANT NUMBER OF PERSONS WITH DISABILITIES, PARTICULARLY THOSE SUFFERING FROM MENTAL HEALTH ILLNESS. UP UNTIL RECENTLY, THE STATE OF NEW YORK OPERATED MENTAL HEALTH FACILITIES WITHIN THE CITY OF UTICA THAT PROVIDED SUPPORTIVE SERVICES TO THESE INDIVIDUALS AND THEIR FAMILIES. BUDGET CRUNCHES AT THE STATE LEVEL, HOWEVER, RESULTED IN THOSE FACILITIES BEING CONSOLIDATED IN OTHER PARTS OF THE STATE, LEAVING THE MENTALLY ILL WITH VERY FEW ALTERNATIVES.

INCLUDING THE ELDERLY, FRAIL ELDERLY, PERSONS WITH DISABILITIES (MENTAL, PHYSICAL, DEVELOPMENTAL), PERSONS WITH ALCOHOL OR OTHER DRUG ADDICTIONS, PERSONS WITH HIV/AIDS AND THEIR FAMILIES, PUBLIC HOUSING RESIDENTS AND ANY OTHER CATEGORIES THE JURISDICTION MAY SPECIFY, AND DESCRIBE THEIR SUPPORTIVE HOUSING NEEDS

AS NOTED ABOVE, THE MOST SIGNIFICANT POPULATION IN NEEDS OF SUPPORTIVE SERVICES IS PERSONS WITH DISABILITIES, PARTICULARLY THOSE SUFFERING FROM MENTAL ILLNESS. WITH MANY VETERANS NOW RETURNING FROM ACTIVE DUTY OVERSEAS, MANY OF THEM ALSO SUFFER FROM PSYCHOLOGICAL PROBLEMS. IN 2012, THE STATE OF NEW YORK CLOSED ALL THREE ADULT WARDS AT THE MOHAWK VALLEY PSYCHIATRIC CENTER IN UTICA, MOVING ONE TO SYRACUSE AND LEAVING ONLY PEDIATRIC BEDS IN THE CITY OF UTICA.

ONE OF THE ROUNDTABLE DISCUSSIONS DURING THE CITY'S COMMUNITY NEEDS ASSESSMENT FOCUSED ON HOUSING AND A NUMBER OF THE PARTICIPANTS IDENTIFIED HOUSING FOR THE MENTALLY ILL AS BEING ESPECIALLY NECESSARY. THE NEW YORK ASSOCIATION OF PSYCHIATRIC REHABILITATION SERVICES LISTS STEADILY-RISING SUPPORTED AND CONGREGATE HOUSING COSTS AS A TOP LEGISLATIVE PRIORITY FOR 2020. GOVERNOR CUOMO'S 2020-2024 BUDGET INVESTS \$7.8 BILLION FOR 44,000 SUPPORTIVE HOUSING UNITS, 77,000 SHELTER BEDS, AND OTHER HOMELESSNESS-RELATED ACTIVITIES.

RELATIVE TO THE OTHER SPECIAL NEEDS POPULATIONS, AS DEFINED BY HUD, THE CITY DOES NOT HAVE AS PRESSING A NEED TO ADDRESS SUPPORTIVE HOUSING NEEDS FOR THE ELDERLY, FRAIL ELDERLY, PERSONS WITH HIV/AIDS OR PUBLIC HOUSING RESIDENTS.

DESCRIBE PROGRAMS FOR ENSURING THAT PERSONS RETURNING FROM MENTAL AND PHYSICAL HEALTH INSTITUTIONS RECEIVE APPROPRIATE SUPPORTIVE HOUSING

A NUMBER OF SERVICE PROVIDERS WITHIN THE ONEIDA AND MADISON COUNTY CONTINUUM OF CARE PROVIDE ACCESS TO "SHELTER PLUS CARE" VOUCHERS, WHICH ARE DESIGNED TO MAINTAIN STABLE HOUSING FOR LOW-INCOME INDIVIDUALS WITH CURRENT SUBSTANCE ABUSE AND/OR MENTAL HEALTH DIAGNOSIS. THESE VOUCHERS ARE TARGETED TOWARD INDIVIDUALS WHO ARE HOMELESS AND HAVE A DOCUMENTED STATUS OF HOMELESS PER THE U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT (HUD). SHELTER PLUS CARE PROVIDES CASE MANAGEMENT SERVICES INCLUDING AN INDIVIDUALIZED SERVICE PLAN (ISP) AND MONTHLY HOME VISITS. PARTICIPANTS WILL BE LINKED TO FURTHER COMMUNITY SUPPORTS AS WELL AS SECTION 8 HOUSING. ASSISTS THE RECOVERY PROCESS BY ENSURING HOUSING IS MAINTAINED THROUGH MONTHLY RENTAL SUBSIDIES AND SECURITY DEPOSITS AS NEEDED.

SPECIFY THE ACTIVITIES THAT THE JURISDICTION PLANS TO UNDERTAKE DURING THE NEXT YEAR TO ADDRESS THE HOUSING AND SUPPORTIVE SERVICES NEEDS IDENTIFIED IN ACCORDANCE WITH 91.215(E) WITH RESPECT TO PERSONS WHO ARE NOT HOMELESS BUT HAVE OTHER SPECIAL NEEDS. LINK TO ONE-YEAR GOALS. 91.315(E)

N/A

FOR ENTITLEMENT/CONSORTIA GRANTEE: SPECIFY THE ACTIVITIES THAT THE JURISDICTION PLANS TO UNDERTAKE DURING THE NEXT YEAR TO ADDRESS THE HOUSING AND SUPPORTIVE SERVICES NEEDS IDENTIFIED IN ACCORDANCE WITH 91.215(E) WITH RESPECT TO PERSONS WHO ARE NOT HOMELESS BUT HAVE OTHER SPECIAL NEEDS. LINK TO ONE-YEAR GOALS. (91.220(2))

GIVEN THE BREADTH OF THE PROBLEM AND THE LIMITED AMOUNT OF FUNDING AVAILABLE TO THE CITY, THE ABILITY TO MAKE HUGE STRIDES IN ADDRESSING THE PROBLEM IN A YEAR'S TIME IS LIMITED. HOWEVER, THE CITY HAS ALLOCATED A LIMITED AMOUNT OF COMMUNITY DEVELOPMENT BLOCK GRANT FUNDING TO THE CENTER FOR FAMILY LIFE AND RECOVERY, INC., WHICH PROVIDES SERVICES TO THOSE SUFFERING FROM MENTAL ILLNESS.. SEE AP-GOALS: CD3 - PUBLIC SERVICES

ADDITIONALLY, THE NEW CONSTRUCTION OF RENTAL HOUSING FOR THE ROOSEVELT RESIDENCE DEVELOPMENT (\$500,000 IN HOME FUNDS) WILL FULLY-OPEN IN EARLY 2020. THIS HOUSING DEVELOPMENT PROJECT HAS ALLOCATED 8 UNITS TO PERSONS WITH SPECIAL NEEDS AND 10% OF THE UNITS WILL BE FULLY ACCESSIBLE FOR PERSONS WITH DISABILITIES. SEE AP - GOALS: HS-1: HOUSING CONSTRUCTION.

MA-40 BARRIERS TO AFFORDABLE HOUSING – 91.210(E)
NEGATIVE EFFECTS OF PUBLIC POLICIES ON AFFORDABLE HOUSING AND RESIDENTIAL INVESTMENT

AVAILABILITY OF AFFORDABLE AND SUITABLE HOUSING

THERE ARE MORE THAN 200 FAMILIES ON THE WAITING LIST FOR SECTION 8 HOUSING IN UTICA. THESE FAMILIES ARE FORCED TO RENT SUBSTANDARD HOUSING WHILE WAITING FOR ASSISTANCE. ADDITIONALLY, THERE ARE 5,830 HOUSEHOLDS DESCRIBED AS EARNING LESS THAN 30% AMI BUT ONLY APPROXIMATELY 2,000 UNITS THAT ARE AFFORDABLE FOR SUCH EXTREMELY LOW INCOME POPULATIONS.

GENTRIFICATION

THE CITY EXPECTS THAT THE ANTICIPATED DEMANDS FOR URBAN LIVING SPACES ASSOCIATED WITH THE NANO UTICA PROJECT WILL RAISE HOUSING COSTS AND REDUCE THE AVAILABILITY OF RENTAL HOUSING IN DOWNTOWN UTICA. THE “LOFT” APARTMENT TRENDS MAY NEGATIVELY AFFECT MINORITIES, REFUGEES AND IMMIGRANT POPULATIONS SENIORS, PERSONS WITH DISABILITIES, AND SINGLE PARENT HOUSEHOLDS WHO CURRENTLY RESIDE IN THE CENTER CITY TO BE CLOSE TO SERVICES AND TRANSPORTATION.

MA-45 NON-HOUSING COMMUNITY DEVELOPMENT ASSETS – 91.215 (F)

INTRODUCTION

IN CONSIDERING PRIORITIES FOR ALLOCATION OF CDBG FUNDS TO ADDRESS NON-HOUSING COMMUNITY DEVELOPMENT NEEDS, THE CITY OF UTICA IS COGNIZANT OF THE NEED TO PREPARE ITS WORKFORCE TO IMPENDING EMPLOYMENT OPPORTUNITIES RESULTING FROM THE STATE’S INVESTMENT IN NANO UTICA. THIS SECTION DESCRIBES THE CITY’S WORKFORCE, ANALYZES CURRENT EMPLOYMENT TRENDS AND SETS FORTH THE BASIS FOR ALLOCATION OF CDBG FUNDS DURING THE 2020-2024 CONSOLIDATED PLAN PERIOD.

ECONOMIC DEVELOPMENT MARKET ANALYSIS

BUSINESS ACTIVITY

| BUSINESS BY SECTOR | NUMBER OF WORKERS | NUMBER OF JOBS | SHARE OF WORKERS % | SHARE OF JOBS % | JOBS LESS WORKERS % |
|-----------------------------------------------|-------------------|----------------|--------------------|-----------------|---------------------|
| AGRICULTURE, MINING, OIL & GAS EXTRACTION | 45 | 0 | 0 | 0 | 0 |
| ARTS, ENTERTAINMENT, ACCOMMODATIONS | 2,238 | 2,400 | 13 | 10 | -3 |
| CONSTRUCTION | 382 | 528 | 2 | 2 | 0 |
| EDUCATION AND HEALTH CARE SERVICES | 5,646 | 12,094 | 32 | 49 | 17 |
| FINANCE, INSURANCE, AND REAL ESTATE | 1,184 | 1,208 | 7 | 5 | -2 |
| INFORMATION | 395 | 267 | 2 | 1 | -1 |
| MANUFACTURING | 2,316 | 2,084 | 13 | 8 | -5 |
| OTHER SERVICES | 716 | 754 | 4 | 3 | -1 |
| PROFESSIONAL, SCIENTIFIC, MANAGEMENT SERVICES | 935 | 1,414 | 5 | 6 | 1 |
| PUBLIC ADMINISTRATION | 0 | 0 | 0 | 0 | 0 |
| RETAIL TRADE | 2,478 | 2,508 | 14 | 10 | -4 |
| TRANSPORTATION AND WAREHOUSING | 645 | 594 | 4 | 2 | -2 |
| WHOLESALE TRADE | 615 | 780 | 3 | 3 | 0 |
| TOTAL | 17,595 | 24,631 | -- | -- | -- |

TABLE 40 - BUSINESS ACTIVITY

2011-2015 ACS (WORKERS), 2015 LONGITUDINAL EMPLOYER-HOUSEHOLD DYNAMICS (JOBS)

DATA
SOURCE:

LABOR FORCE

| | |
|------------------------------------------------|--------|
| TOTAL POPULATION IN THE CIVILIAN LABOR FORCE | 27,085 |
| CIVILIAN EMPLOYED POPULATION 16 YEARS AND OVER | 23,795 |
| UNEMPLOYMENT RATE | 12.12 |
| UNEMPLOYMENT RATE FOR AGES 16-24 | 24.09 |
| UNEMPLOYMENT RATE FOR AGES 25-65 | 7.70 |

TABLE 41 - LABOR FORCE

DATA

2011-2015 ACS

SOURCE:

| OCCUPATIONS BY SECTOR | NUMBER OF PEOPLE | MEDIAN INCOME |
|--------------------------------------------------|------------------|---------------|
| MANAGEMENT, BUSINESS AND FINANCIAL | 3,900 | |
| FARMING, FISHERIES AND FORESTRY OCCUPATIONS | 1,215 | |
| SERVICE | 3,540 | |
| SALES AND OFFICE | 5,625 | |
| CONSTRUCTION, EXTRACTION, MAINTENANCE AND REPAIR | 1,200 | |
| PRODUCTION, TRANSPORTATION AND MATERIAL MOVING | 1,355 | |

TABLE 42 – OCCUPATIONS BY SECTOR

DATA

2011-2015 ACS

SOURCE:

TRAVEL TIME

| TRAVEL TIME | NUMBER | PERCENTAGE |
|--------------------|--------|------------|
| < 30 MINUTES | 18,565 | 83% |
| 30-59 MINUTES | 3,100 | 14% |
| 60 OR MORE MINUTES | 810 | 4% |
| TOTAL | 22,475 | 100% |

TABLE 43 - TRAVEL TIME

DATA

2011-2015 ACS

SOURCE:

EDUCATION:

EDUCATIONAL ATTAINMENT BY EMPLOYMENT STATUS (POPULATION 16 AND OLDER)

| EDUCATIONAL ATTAINMENT | IN LABOR FORCE | | NOT IN LABOR FORCE |
|--------------------------------|-------------------|------------|--------------------|
| | CIVILIAN EMPLOYED | UNEMPLOYED | |
| LESS THAN HIGH SCHOOL GRADUATE | 2,385 | 405 | 2,815 |

| EDUCATIONAL ATTAINMENT | IN LABOR FORCE | | NOT IN LABOR FORCE |
|---------------------------------------------|-------------------|------------|--------------------|
| | CIVILIAN EMPLOYED | UNEMPLOYED | |
| HIGH SCHOOL GRADUATE (INCLUDES EQUIVALENCY) | 5,000 | 890 | 2,955 |
| SOME COLLEGE OR ASSOCIATE'S DEGREE | 6,855 | 715 | 2,345 |
| BACHELOR'S DEGREE OR HIGHER | 4,110 | 270 | 685 |

TABLE 44 - EDUCATIONAL ATTAINMENT BY EMPLOYMENT STATUS

DATA

2011-2015 ACS

SOURCE:

EDUCATIONAL ATTAINMENT BY AGE

| | AGE | | | | |
|-------------------------------------------|-----------|-----------|-----------|-----------|---------|
| | 18–24 YRS | 25–34 YRS | 35–44 YRS | 45–65 YRS | 65+ YRS |
| LESS THAN 9TH GRADE | 150 | 520 | 610 | 1,305 | 1,410 |
| 9TH TO 12TH GRADE, NO DIPLOMA | 1,030 | 1,010 | 905 | 1,255 | 1,050 |
| HIGH SCHOOL GRADUATE, GED, OR ALTERNATIVE | 1,880 | 2,130 | 1,870 | 4,850 | 3,435 |
| SOME COLLEGE, NO DEGREE | 3,170 | 2,055 | 1,280 | 2,965 | 1,495 |
| ASSOCIATE'S DEGREE | 580 | 925 | 880 | 1,815 | 500 |
| BACHELOR'S DEGREE | 495 | 1,275 | 585 | 1,550 | 730 |
| GRADUATE OR PROFESSIONAL DEGREE | 45 | 545 | 355 | 780 | 505 |

TABLE 45 - EDUCATIONAL ATTAINMENT BY AGE

DATA

2011-2015 ACS

SOURCE:

EDUCATIONAL ATTAINMENT – MEDIAN EARNINGS IN THE PAST 12 MONTHS

| EDUCATIONAL ATTAINMENT | MEDIAN EARNINGS IN THE PAST 12 MONTHS |
|---------------------------------------------|---------------------------------------|
| LESS THAN HIGH SCHOOL GRADUATE | 17,799 |
| HIGH SCHOOL GRADUATE (INCLUDES EQUIVALENCY) | 21,490 |
| SOME COLLEGE OR ASSOCIATE'S DEGREE | 28,066 |
| BACHELOR'S DEGREE | 35,525 |
| GRADUATE OR PROFESSIONAL DEGREE | 49,905 |

TABLE 46 – MEDIAN EARNINGS IN THE PAST 12 MONTHS

DATA

2011-2015 ACS

SOURCE:

BASED ON THE BUSINESS ACTIVITY TABLE ABOVE, WHAT ARE THE MAJOR EMPLOYMENT SECTORS WITHIN YOUR JURISDICTION?

BASED ON THE POPULATED TABLES ABOVE, THE MAJOR EMPLOYMENT SECTORS WITHIN THE CITY OF UTICA ARE 1) EDUCATION & HEALTHCARE, 2) RETAIL TRADE, 3) MANUFACTURING, AND 4) ARTS, ENTERTAINMENT AND ACCOMMODATIONS. THOUGH NOT REFLECTED FOR WHATEVER REASON IN THE TABLES, GOVERNMENT EMPLOYEES MAKE UP A SIGNIFICANT PERCENTAGE OF THE WORKFORCE AS WELL, GIVEN THAT THE CITY IS THE COUNTY SEAT AND, AS SUCH, IS HOME TO FEDERAL, STATE AND COUNTY OFFICES, IN ADDITION TO ITS OWN MUNICIPAL OFFICES.

DESCRIBE THE WORKFORCE AND INFRASTRUCTURE NEEDS OF THE BUSINESS COMMUNITY:

ONE OF THE BIGGEST NEEDS FOR THE CITY'S WORKFORCE IS INCREASED EDUCATIONAL ATTAINMENT BY OUR RESIDENTS. OF THE 23,795 CIVILIANS EMPLOYED IN THE WORKFORCE, A MEAGER 17% HAS FULFILLED THE REQUIREMENTS NECESSARY TO EARN A BACHELOR'S DEGREE. THOUGH THE CITY OF UTICA IS A 'COLLEGE TOWN', HOME TO UTICA COLLEGE, MOHAWK VALLEY COMMUNITY COLLEGE, UTICA SCHOOL OF COMMERCE, PRATT INSTITUTE AT MUNSON-WILLIAMS AND THE ST. ELIZABETH SCHOOL OF NURSING (NOT TO MENTION THE FACT THAT THE CAMPUSES OF SUNY POLYTECHNIC INSTITUTE AND HAMILTON COLLEGE SIT IN CLOSE PROXIMITY TO THE CITY OF UTICA), CITY RESIDENTS ARE CLEARLY UNPREPARED FOR EMPLOYMENT OPPORTUNITIES THAT REQUIRE COMPLETION OF A BACHELOR'S DEGREE.

BEYOND THE FORMAL TRAINING PROVIDED IN A COLLEGIATE SETTING, MANY CITY RESIDENTS FROM LOW- TO MODERATE-INCOME HOUSEHOLDS ALSO LACK THE LIFE SKILLS TRAINING NECESSARY TO COMPETE FOR EMPLOYMENT OPPORTUNITIES IN TODAY'S CURRENT JOB MARKET. SEVERAL GENERATIONS OF POVERTY AND PERVASIVE UNEMPLOYMENT HAVE LEFT THE CITY'S YOUNGEST RESIDENTS WITHOUT THE KNOWLEDGE AND SKILLS TO MAKE THE FIRST STEP TOWARD ENTERING THE WORKFORCE.

FINALLY, DUE TO THE HIGH NUMBER OF IMMIGRANTS AND REFUGEES, ENGLISH LANGUAGE SKILLS PRESENT DIFFICULTIES FOR MANY CITY RESIDENTS AND A HURDLE TO OBTAINING GAINFUL EMPLOYMENT.

DESCRIBE ANY MAJOR CHANGES THAT MAY HAVE AN ECONOMIC IMPACT, SUCH AS PLANNED LOCAL OR REGIONAL PUBLIC OR PRIVATE SECTOR INVESTMENTS OR INITIATIVES THAT HAVE AFFECTED OR MAY AFFECT JOB AND BUSINESS GROWTH OPPORTUNITIES DURING THE PLANNING PERIOD. DESCRIBE ANY NEEDS FOR WORKFORCE DEVELOPMENT, BUSINESS SUPPORT OR INFRASTRUCTURE THESE CHANGES MAY CREATE.

THE BIGGEST CHANGE THAT WILL UNDOUBTEDLY HAVE AN IMPACT ON THE CITY'S ECONOMY IS NANO UTICA. NANO UTICA IS THE NAME GIVEN TO THE STATE'S BILLION-DOLLAR INVESTMENT IN NANOTECHNOLOGY IN MARCY, A SUBURB OF UTICA. CONSTRUCTION ON A \$150 MILLION DOLLAR BUILDING ON THE CAMPUS OF SUNY POLYTECHNIC INSTITUTE KNOWN AS 'QUAD C' (WHICH STANDS FOR THE COMPUTER CHIP COMMERCIALIZATION CENTER) OPENED SEVERAL YEARS AGO AND IS OCCUPIED BY DANFOSS SILICON POWER, A TECHNOLOGY COMPANY THAT HAS OPERATIONS IN FLENSBURG, GERMANY IN ADDITION TO THE UTICA LOCATION. THE PROJECT EMPLOYMENT TARGET IS THE CREATION OF NEARLY 2,000 HIGH-TECH, HIGH-PAYING JOBS AND HUNDREDS OF ADDITIONAL, SPIN-OFF JOBS IN THE SERVICE SECTOR.

BEYOND QUAD C, HOWEVER, THE REGION WORKED TIRELESSLY FOR THE PAST DECADE TO ATTRACT A CHIP FAB PLANT ON A VACANT PARCEL OF LAND ADJACENT TO QUAD C. THE STATE'S VISION IS THAT QUAD C WILL PERFORM THE RESEARCH INTO THE FIELD OF NANOTECHNOLOGY, WHILE ACTUAL MANUFACTURING OF NANOTECHNOLOGY PRODUCTS WILL BE DONE AT THE CHIP FAB PLANT. IN 2019, IT WAS ANNOUNCED THAT CREE, INC., A DURHAM, NORTH CAROLINA COMPANY WOULD BUILD THE "WORLD'S LARGEST SILICON CARBIDE FABRICATION FACILITY" AT THE MARCY SITE, A \$500,000,000 INVESTMENT EXPECTED TO CREATE 614 DIRECT JOBS WITHIN 8 YEARS.

FOR THE PAST SEVERAL DECADES, IT WAS A FOREGONE CONCLUSION THAT THE REGION'S YOUTH WOULD GRADUATE FROM LOCAL HIGH SCHOOLS, GO ON TO COLLEGE IN OTHER PARTS OF THE STATE OR THE COUNTRY AND NEVER RETURN TO SETTLE

DOWN AS THERE WERE NO MEANINGFUL EMPLOYMENT OPPORTUNITIES TO WHICH TO RETURN. NANO UTICA HAS THE POTENTIAL TO CREATE THAT NECESSARY PARADIGM SHIFT. HOWEVER, A GREATER FOCUS ON STEM (SCIENCE, TECHNOLOGY, ENGINEERING, MATHEMATICS) STARTING IN GRADE SCHOOL THROUGH HIGH SCHOOL IS NECESSARY THROUGHOUT THE REGION, AND IN THE CITY OF UTICA, IN PARTICULAR, IS NECESSARY TO ENCOURAGE YOUNG PEOPLE TO SEE THE POTENTIAL FOR EMPLOYMENT IN THOSE FIELDS LOCALLY.

ADDITIONALLY, IN TERMS OF INFRASTRUCTURE NEEDS TO SUPPORT THESE JOBS, APPROPRIATE HOUSING OPTIONS ARE CRITICAL IF THIS CITY, AND THIS REGION, ARE TO CAPTURE AND RETAIN THESE HIGH-PAYING, HIGHLY EDUCATED PEOPLE WITHIN OUR COMMUNITY. MANY OF THESE PEOPLE WILL BE SEEKING HOUSING IN A HIP, URBAN SETTING SUCH AS THAT WHICH CAN BE PROVIDED BY RENOVATING THE UPPER FLOORS OF MANY EXISTING BUILDINGS IN DOWNTOWN UTICA. LOCAL DEVELOPERS WERE INITIALLY SLOW TO APPRECIATE THE VAST POTENTIAL MARKET THAT WILL SOON BE SEARCHING FOR LOFT-STYLE APARTMENTS, HOWEVER THE PAST SEVERAL YEARS HAVE BROUGHT THE REDEVELOPMENT OF NUMEROUS DOWNTOWN BUILDINGS FOR MIXED-USE OCCUPATION, INCLUDING LOFTS AND URBAN APARTMENTS.

HOW DO THE SKILLS AND EDUCATION OF THE CURRENT WORKFORCE CORRESPOND TO EMPLOYMENT OPPORTUNITIES IN THE JURISDICTION?

AS STATED EARLIER, THE CURRENT WORKFORCE THAT CALLS UTICA HOME LACKS THE EDUCATION NECESSARY TO COMPETE FOR THE HIGH-TECHNOLOGY EMPLOYMENT OPPORTUNITIES THAT WILL BE MADE AVAILABLE AS A RESULT OF NANO UTICA. THEY MAY BE BETTER SUITED FOR THE NUMEROUS EMPLOYMENT OPPORTUNITIES IN THE SERVICE AND RETAIL SECTORS THAT RESULT FROM SPIN-OFFS FROM NANO UTICA. HOWEVER, SECURING EVEN THOSE JOBS WILL LIKELY REQUIRE A GREATER LEVEL OF LIFE SKILLS AND JOB-READINESS TRAINING.

DESCRIBE ANY CURRENT WORKFORCE TRAINING INITIATIVES, INCLUDING THOSE SUPPORTED BY WORKFORCE INVESTMENT BOARDS, COMMUNITY COLLEGES AND OTHER ORGANIZATIONS. DESCRIBE HOW THESE EFFORTS WILL SUPPORT THE JURISDICTION'S CONSOLIDATED PLAN.

WITH THE NANO UTICA INITIATIVE GAINING SPEED, ONEIDA COUNTY EXECUTIVE ANTHONY J. PICENTE, JR. LAUNCHED AN INITIATIVE THAT HE CALLED 'VISION 2020' WHICH INVOLVED CONVENING 3 COMMITTEES TO RESEARCH AND DEVELOP A PLAN FOCUSED ON POSITIVE CHANGE FOR ONEIDA COUNTY. THE INTENT WAS FOR THE PLAN THAT RESULTED TO BE A BLUEPRINT FOR A FIRST-CLASS WORKFORCE, ENHANCED HOUSING AND ACCESSIBLE JOB OPPORTUNITIES.

ONE OF THE 3 COMMITTEES THAT WAS CONVENED FOCUSED STRICTLY ON ISSUES TIED TO EDUCATION AND TRAINING. HOWARD 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.

DISCUSSION

AS DETAILED ABOVE, THE STATE’S INVESTMENT IN THE NANO UTICA INITIATIVE HOLDS INCREDIBLE PROMISE FOR THE FUTURE OF THE CITY OF UTICA OVER THE PERIOD OF TIME COVERED BY THIS 2020-2024 CONSOLIDATED PLAN. BUT THE CITY OF UTICA’S WORKFORCE MUST BE PREPARED FOR THE OPPORTUNITIES THAT ARE DUE TO BE PRESENTED TO THEM. CDBG FUNDS AVAILABLE TO THE CITY CAN HELP LAY THE GROUNDWORK FOR A SMALL PIECE OF THIS PREPARATION, BUT LEVERAGING OF THOSE SHRINKING DOLLARS TOGETHER WITH ESTABLISHING CRITICAL PARTNERSHIPS SUCH AS WITH ONEIDA COUNTY’S VISION 2020 WILL HELP THOSE DOLLARS GO FURTHER.

EARLY LITERACY PROGRAMS LIKE THOSE OPERATED BY THE UTICA PUBLIC LIBRARY OR TUTORING/MENTORSHIP PROGRAMS LIKE THE UTICA COLLEGE YOUNG SCHOLARS ARE VITAL TO LAYING THE FOUNDATION TO A LIFETIME OF EDUCATION THAT WILL PREPARE ONE FOR A CAREER IN A HIGH-TECH FIELD. BUT MORE MUST BE DONE, INCLUDING EXPANSION OF INCUBATORS AND ADDING LIFE SKILLS AND JOB READINESS TRAINING.

MA-50 NEEDS AND MARKET ANALYSIS DISCUSSION

ARE THERE AREAS WHERE HOUSEHOLDS WITH MULTIPLE HOUSING PROBLEMS ARE CONCENTRATED? (INCLUDE A DEFINITION OF "CONCENTRATION")

CONCENTRATION IS DEFINED AS CENSUS TRACTS IN WHICH MORE THAN 50% OF THE HOUSEHOLDS ARE REPORTED AS HAVING 1 OR MORE SERIOUS HOUSING PROBLEM. IN ANALYZING THE DATA WITHIN SECTION MA-20: CONDITION OF HOUSING, IT IS EVIDENT THAT THERE ARE SEVERAL AREAS WITHIN THE CITY OF UTICA THAT EXPERIENCE A CONCENTRATION OF HOUSING PROBLEMS. THE MAJORITY OF THE CONCENTRATION EXISTS WITHIN THE WEST UTICA AND THE CORNHILL NEIGHBORHOOD, WITH THE MOST SIGNIFICANT CONCENTRATION (70-80%) IN CT# 021201.

ARE THERE ANY AREAS IN THE JURISDICTION WHERE RACIAL OR ETHNIC MINORITIES OR LOW-INCOME FAMILIES ARE CONCENTRATED? (INCLUDE A DEFINITION OF "CONCENTRATION")

CONCENTRATION IS DEFINED AS CENSUS TRACTS IN WHICH MORE THAN 50% OF THE HOUSEHOLDS ARE REPORTED AS BEING RACIALLY DIVERSE OR A LOW TO MODERATE INCOME HOUSEHOLD.

WITH REGARD TO RACIAL CONCENTRATIONS, AS DISCUSSED IN NA-30 DISPROPORTIONATELY GREATER NEED: DISCUSSION, THERE IS SOME CONCENTRATION OF RACIAL OR ETHNIC MINORITIES WITHIN CERTAIN CENSUS TRACTS. FOR BLACK/AFRICAN AMERICAN HOUSEHOLDS THE LARGEST CONCENTRATION IS WITHIN THE MOST CENTRALLY LOCATED CENSUS TRACT IN THE CORNHILL NEIGHBORHOOD, CT# 021500 IN WHICH 32.4%-47.2% OF THE HOUSEHOLDS IDENTIFY AS BLACK/AFRICAN AMERICAN. ASIAN HOUSEHOLDS DEMONSTRATE A SLIGHT CONCENTRATION IN THE EASTERN PORTION OF THE CORNHILL NEIGHBORHOOD WITH CT# 021202 REPORTING THE LARGEST CONCENTRATION (23.2%-42.2%) OF ASIAN HOUSEHOLDS. HISPANIC HOUSEHOLDS DO NOT DEMONSTRATE SIGNIFICANT CONCENTRATION WITHIN ANY CENSUS TRACT, WITH MOST CENSUS TRACTS REPORTING BETWEEN 6.3% AND 27.3% OF THE HOUSEHOLDS IDENTIFYING AS HISPANIC. CT# 02083, WHICH IS LOCATED IN THE LOWER EAST UTICA SECTION OF THE JURISDICTION, IS NEARING CONCENTRATION FOR HISPANIC HOUSEHOLDS, IDENTIFYING BETWEEN 19.5% AND 35.1% OF THE HOUSEHOLDS WITHIN THE CENSUS TRACT, WHICH IS NEARING THE DEFINITION OF CONCENTRATION.

WITH REGARD TO LOW-MODERATE INCOME HOUSEHOLDS, THERE IS SIGNIFICANT CONCENTRATION WITHIN LOWER EAST UTICA, CENTRAL CORNHILL, AND DOWNTOWN ALL OF WHICH REPORT HAVING A CONCENTRATION OF LOW/MODERATE INCOME HOUSING THAT IS EQUAL TO OR GREATER THAN 65% OF THE HOUSEHOLDS.

WHAT ARE THE CHARACTERISTICS OF THE MARKET IN THESE AREAS/NEIGHBORHOODS?

FOR ALL OF THE AFOREMENTIONED AREAS, THE HOUSING MARKET CONSISTS PRIMARILY OF RENTAL UNITS, WITH ALL CENSUS TRACTS REPORTING LESS THAN 32% OWNER OCCUPIED UNITS. VACANCY RATE WITHIN THE AREAS IS LOW TO MODERATE, WITH MOST CENSUS TRACTS SHOWING VACANCY RATES BETWEEN 12%-32%. THE MEDIAN CONTRACT RENT FOR MOST OF THE CENSUS TRACTS IS BETWEEN \$415.00 AND \$752, WITH, CT# 020300 AND CT# 021000 ALL REPORTING 50% OR MORE OF CONTRACT RENTS BEING LESS THAN \$500.00.

ARE THERE ANY COMMUNITY ASSETS IN THESE AREAS/NEIGHBORHOODS?

THE CORNHILL AND WEST UTICA NEIGHBORHOOD, WHERE THE GREATEST CONCENTRATION OF HOUSEHOLDS WITH MULTIPLE HOUSING PROBLEMS RESIDES ALONG WITH BEING THE AREAS OF HIGHEST MINORITY CONCENTRATION, ARE LARGELY RESIDENTIAL NEIGHBORHOODS. EACH OF THE NEIGHBORHOODS HAS THEIR OWN NEIGHBORHOOD SCHOOLS, WHICH ARE POTENTIAL COMMUNITY ASSETS, THOUGH BOTH STRUGGLE WITH TEST SCORES AND ATTENDANCE. BOTH NEIGHBORHOODS ALSO HAVE SMALL COMMERCIAL AREAS, THOUGH JAMES STREET IN CORNHILL IS MORE FOCUSED ON NEIGHBORHOOD COMMERCIAL ACTIVITY, WHILE WEST UTICA IS BOUND BY THE N/S ARTERIAL AND ORISKANY BOULEVARD

WHICH SERVE CUSTOMERS BEYOND MERELY THE WEST UTICA NEIGHBORHOOD. EACH OF THE NEIGHBORHOODS ALSO HAS THEIR OWN PARKS, THOUGH THE ADDISON MILLER PARK IN WEST UTICA DRAWS PEOPLE FROM BEYOND JUST WEST UTICA.

TRULY, THE ASSETS OF BOTH COMMUNITIES ARE THE PEOPLE THAT RESIDE WITHIN EACH. THE CORNHILL AND WEST UTICA NEIGHBORHOODS ARE TWO OF THE MOST ACTIVE NEIGHBORHOOD GROUPS IN THE CITY. THEIR MONTHLY MEETINGS ARE BETTER ATTENDED, ON AVERAGE, THAN ANY OTHER NEIGHBORHOOD IN THE CITY OF UTICA.

ARE THERE OTHER STRATEGIC OPPORTUNITIES IN ANY OF THESE AREAS?

AS NOTED ABOVE, BOTH THE CORNHILL AND WEST UTICA NEIGHBORHOOD ARE PRIMARILY RESIDENTIAL NEIGHBORHOODS. BOTH ARE EXTREMELY DENSELY POPULATED AND DEVELOPED – VERY LITTLE GREEN SPACE EXISTS FOR NEW DEVELOPMENT. VERY LITTLE SPACE IS DEVOTED TO ANYTHING BUT RESIDENTIAL USES. THE SOLE STRATEGIC OPPORTUNITY IS IN REDEVELOPING THE RESIDENTIAL SPACE THAT IS IN THOSE NEIGHBORHOODS. IN CORNHILL, THIS HAS BEEN GOING ON FOR THE LAST 15 YEARS – SINCE THE UTICA MUNICIPAL HOUSING AUTHORITY WAS AWARDED OVER \$10 MILLION IN A HOPE VI GRANT. AS PART OF THAT EFFORT, THE CITY AND OTHER HOUSING PROVIDERS HAVE INVESTED MILLIONS TO RENOVATE THE EXISTING HOUSING FOR BOTH RENTAL AND HOMEOWNERSHIP. IN 2017, GROUND WAS BROKEN ON ROOSEVELT RESIDENCES, A \$14 MILLION PROJECT IN CORNHILL THAT REPLACED A COLLAPSING SCHOOL BUILDING, SEVERAL CONDEMNED HOMES AND A NUMBER OF VACANT LOTS ON SCATTERED SITES WITH 2-FAMILY RENTAL HOUSES OPERATED BY THE MHA. 50 UNITS HAVE BEEN DEVELOPED WITH THE MAJORITY OCCUPIED AS OF APRIL 1, 2020 AND A GROWING WAITLIST OF OVER 200 PEOPLE DEMONSTRATING THE NEED FOR SUSTAINABLE HOUSING IN THE CORNHILL NEIGHBORHOOD. WHILE THAT INVESTMENT WAS BEING MADE IN CORNHILL, HOWEVER, VERY LITTLE WAS BEING INVESTED IN WEST UTICA.

THE EXISTING HOUSING STOCK IN WEST UTICA IS NOT BUILT OF THE SAME QUALITY AS THAT IN CORNHILL. THE HOUSING STOCK IN WEST UTICA WAS BUILT TO HOUSE MILL WORKERS AND IS OF MUCH POORER QUALITY. INVESTMENT IN HOUSING IN WEST UTICA WILL BE MUCH MORE DIFFICULT, MORE COSTLY AND A SLOWER PROCESS THAN THE INVESTMENT THAT CORNHILL HAS WITNESSED FOR THE LAST DECADE. ACQUISITION, CONSOLIDATION AND DEMOLITION FOLLOWED BY EXTENSIVE NEW CONSTRUCTION MUST BE A PART OF THE PLAN, AS DEMONSTRATED BY THE ROOSEVELT PROJECT.

MA-60 BROADBAND NEEDS OF HOUSING OCCUPIED BY LOW- AND MODERATE-INCOME HOUSEHOLDS - 91.210(A)(4), 91.310(A)(2)

DESCRIBE THE NEED FOR BROADBAND WIRING AND CONNECTIONS FOR HOUSEHOLDS, INCLUDING LOW- AND MODERATE-INCOME HOUSEHOLDS AND NEIGHBORHOODS.

LOW AND MODERATE-INCOME HOUSEHOLDS MAY LACK ACCESS TO BROADBAND SERVICES, LARGELY DUE TO COST, IN UTICA'S POOREST NEIGHBORHOODS. A BASIC BROADBAND CONNECTION PRICE RANGES BETWEEN \$35 AND 49 PER MONTH WITH NO OTHER SERVICES (PHONE/CABLE). AS SHELTER, FOOD, MEDICAL AND OTHER EXPENSES ADD UP, ACCESS TO BROADBAND INTERNET MAY NOT BE AFFORDABLE. NEWER RENTAL HOUSING PROJECTS CONSTRUCTED IN UTICA HAVE BEEN OFFERING UTILITY ALLOWANCES IN ORDER TO MAKE UTILITY EXPENSES MORE AFFORDABLE, AND SOME HAVE BEEN OFFERING ACCESS TO FREE BROADBAND WITHIN COMPUTER LABS ONSITE FOR RESIDENTS TO USE. THESE CAN BE USED TO ASSIST IN MAINTAINING BILL PAYMENTS, EDUCATIONAL OPPORTUNITIES AND RESEARCH, COMMUNICATION, AND OTHER FUNCTIONS. IN THE YEARS BETWEEN 2020 AND 2024, ACCESS TO BROADBAND IS EXPECTED TO PLAY A LARGE ROLE IN HOW MANY DAILY FUNCTIONS ARE CONDUCTED (ESPECIALLY WITH MUCH OF THE WORLD IN SOCIAL ISOLATION OR UNDER STAY-AT-HOME ORDERS DUE TO THE COVID-19 CORONAVIRUS PANDEMIC, FORCING MANY TO WORK OR LEARN FROM HOME USING BROADBAND CONNECTIONS).

DESCRIBE THE NEED FOR INCREASED COMPETITION BY HAVING MORE THAN ONE BROADBAND INTERNET SERVICE PROVIDER SERVE THE JURISDICTION.

IN 2018, NY-22 CONGRESSIONAL CANDIDATE ANTHONY BRINDISI WON THE GENERAL ELECTION ON A CAMPAIGN PROMISE OF HOLDING SPECTRUM (CHARTER COMMUNICATIONS AND TIME WARNER CABLE MERGER) ACCOUNTABLE FOR LACK OF PROGRESS MADE ON EXPANDING BROADBAND ACCESS TO RURAL AREAS AND KEEPING RATES AFFORDABLE FOR RESIDENTS OF THE DISTRICT. IN THE YEARS THAT HAVE FOLLOWED, LITTLE PROGRESS HAS BEEN MADE, AND ACCESS TO BROADBAND INTERNET IS STILL INCONSISTENT AND AT TIMES OUT OF FINANCIAL REACH FOR MANY. INCREASE COMPETITION COULD FILL THESE GAPS IN COVERAGE AS WELL AS FORCE PRICES TO BE MORE COMPETITIVE.

MA-65 HAZARD MITIGATION - 91.210(A)(5), 91.310(A)(3)

DESCRIBE THE JURISDICTION’S INCREASED NATURAL HAZARD RISKS ASSOCIATED WITH CLIMATE CHANGE.

ZONING CODE CHANGES ARE BEING NEGOTIATED AND IMPLEMENTED AS PART OF THE 2020-2021 PROGRAM YEAR. ADDITIONALLY, BUILDING CODES ARE BEING UPDATED TO ENSURE STRUCTURAL STABILITY IN INCREASINGLY-DAMAGING CLIMATE EVENTS. IN RESPONSE TO INCREASED FLOODING IN AREAS OF GENESEE STREET AROUND THE HARBOR AND THE MOHAWK RIVER, SEVERAL NEW STRUCTURES ERECTED WITHIN THE PAST DECADE HAVE RAISED THE GROUND LEVEL OF THE PROPERTY BEFORE CONSTRUCTING ANY NEW STRUCTURES. AS A RESULT, DURING THE MOST-RECENT FLOODING EVENTS IN OCTOBER 2019, THE BUILDINGS CONSTRUCTED ON THE NEWLY-RAISED ELEVATIONS REMAINED ABOVE THE WATER LEVEL WHILE ALL OTHER BUILDINGS WERE FLOODED.

DESCRIBE THE VULNERABILITY TO THESE RISKS OF HOUSING OCCUPIED BY LOW- AND MODERATE-INCOME HOUSEHOLDS BASED ON AN ANALYSIS OF DATA, FINDINGS, AND METHODS.

THE MAJORITY OF HOUSING STOCK WITHIN THE CITY OF UTICA IS NOT LOCATED WITHIN A FLOOD PLAIN, AND IS NOT LIKELY TO BE AFFECTED BY RISING WATER LEVELS. NEIGHBORHOODS THAT BORDER STREAMS, CREEKS OR RIVERS ARE AT AN INCREASED-RISK OF FLOODING, AS 100-YEAR FLOODS ARE NOW OCCURRING UP TO SEVERAL TIMES PER YEAR. LOCAL AND STATE GOVERNMENTS ARE CURRENTLY LOOKING INTO POTENTIAL SOLUTIONS FOR PEOPLE WHO ARE LIKELY TO BE AT-RISK.

STRATEGIC PLAN

SP-05 OVERVIEW

STRATEGIC PLAN OVERVIEW

THROUGH A COMPREHENSIVE PLANNING PROCESS THAT INCLUDED INPUT FROM PUBLIC, PRIVATE, NOT-FOR PROFIT AGENCIES, ORGANIZATIONS, RESIDENTS (INCLUDING HIGH SCHOOL STUDENTS), THE CITY OF UTICA CREATED A FIVE YEAR STRATEGY FOR THE CONSOLIDATED PLAN THAT SETS GENERAL PRIORITIES FOR ALLOCATING ITS ANTICIPATED ENTITLEMENT GRANT FUNDS. THE STRATEGIC PLAN DESCRIBES HOW THE PRIORITIES WERE IDENTIFIED, THE OBSTACLES TO MEETING UNDERSERVED POPULATIONS, AND THE ACCOMPLISHMENTS THAT THE ADMINISTRATION EXPECTS TO ACHIEVE OVER THE NEXT FIVE YEARS FROM 2020-2024 RELATING TO

- HOUSING
- HOMELESSNESS
- SPECIAL NEEDS
- COMMUNITY DEVELOPMENT
- ECONOMIC DEVELOPMENT

A MINIMUM OF 70% OF CDBG FUNDING MUST BE USED TO PRINCIPALLY BENEFIT LOW AND MODERATE INCOME POPULATIONS AND NEIGHBORHOODS. IN UTICA, THE PRINCIPLES OF THE CONSOLIDATED PLAN INCLUDE:

TARGETED ASSISTANCE – THE CITY WILL TARGET ITS FUNDING AND PLANNING TO IMPROVE NEIGHBORHOODS FOR ENHANCED IMPACT.

COMMUNITY ENGAGEMENT – THE CITY WILL FOCUS ON ORGANIZING AND EMPOWERING COMMUNITY MEMBERS TO GET INVOLVED IN THE IMPLEMENTATION OF PROJECTS AND PROGRAMS AND TO PROVIDE THE CRITICAL INPUT NECESSARY FOR THEM TO HAVE OWNERSHIP AND INFLUENCE IN THE RESULTING BENEFITS.

COLLABORATION – THE CITY WILL CONTINUE TO COLLABORATE WITH AND ENGAGE THOSE WHO ASSISTED WITH THE COMMUNITY NEEDS ASSESSMENT PROCESS. AS INDICATED IN THE PLAN, TASK FORCES WILL ASSIST THE CITY TO STUDY AND MAKE RECOMMENDATIONS REGARDING CHANGING PRIORITY NEEDS THAT ARE NOT BEING ADEQUATELY ADDRESSED.

LEVERAGING OF RESOURCES – THE CITY WILL FOCUS ON PROJECTS THAT HAVE POTENTIAL FOR OTHER PUBLIC AND PRIVATE FUNDING AS WELL AS IN-KIND RESOURCES FROM RESIDENTS, ORGANIZATIONS AND ACADEMIC INSTITUTIONS.

HOW PRIORITIES WERE DETERMINED:

RESEARCH AND CENSUS DATA

EXISTING PLANNING DOCUMENTS

CONSULTATIONS WITH CITY STAFF

DISTRICT STAKEHOLDER MEETINGS

PUBLIC HEARINGS

COMMUNITY SURVEYS

CONSULTATIONS WITH SERVICE PROVIDERS

CONSULTATIONS WITH COMMUNITY AND ECONOMIC DEVELOPMENT AGENCIES

OTHER KEY FACTORS TAKEN INTO CONSIDERATION:

- LOCATIONS WITH THE GREATEST CONCENTRATION OF LOW-INCOME HOUSEHOLDS (I.E. DOWNTOWN, CORNHILL, WEST UTICA)
- ACTIVITIES THAT CAN HELP THE MOST VULNERABLE WHILE MAKING A DIFFERENCE TO ALL CITY RESIDENTS
- LIMITED AMOUNT OF FUNDING AVAILABLE TO MEET HUGE AND CHANGING NEEDS
- ACTIVITIES THAT HAVE OTHER POTENTIAL FUNDING STREAMS TO LEVERAGE ENTITLEMENT FUNDS

SP-10 GEOGRAPHIC PRIORITIES – 91.215 (A)(1)

GEOGRAPHIC AREA

TABLE 47 - GEOGRAPHIC PRIORITY AREAS

| | | |
|---|------------------------------------------------------------|--------------------------------|
| 1 | AREA NAME: | CITY OF UTICA CDBG TARGET AREA |
| | AREA TYPE: | LOCAL TARGET AREA |
| | OTHER TARGET AREA DESCRIPTION: | |
| | HUD APPROVAL DATE: | |
| | % OF LOW/ MOD: | |
| | REVITAL TYPE: | COMPREHENSIVE |
| | OTHER REVITAL DESCRIPTION: | |
| | IDENTIFY THE NEIGHBORHOOD BOUNDARIES FOR THIS TARGET AREA. | SEE ATTACHED JPEG |

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| <p>INCLUDE SPECIFIC HOUSING AND COMMERCIAL CHARACTERISTICS OF THIS TARGET AREA.</p> | <p>THE CITY OF UTICA CDBG TARGET AREA VARIES IS COMPRISED ALMOST ENTIRELY OF THE CITY’S WEST UTICA NEIGHBORHOOD AND THE CORNHILL NEIGHBORHOOD, DIVIDED BY GENESEE STREET, THE CITY’S “MAIN STREET”. THE DOWNTOWN NEIGHBORHOOD IS ALSO LOCATED WITHIN THE CDBG TARGET AREA AND ACTS TO DIVIDE WEST UTICA FROM CORNHILL.</p> <p>THE CHARACTERISTICS OF THE HOUSING AND COMMERCIAL PROPERTIES WITHIN THE WEST UTICA AND CORNHILL NEIGHBORHOODS ARE VASTLY DIFFERENT. THE HOUSING IN CORNHILL IS WELL CONSTRUCTED, BUILT FOR SOME OF THE CITY’S FIRST AND MOST AFFLUENT FAMILIES. THE HOUSING IN WEST UTICA WAS CONSTRUCTED LATER AND ARE LESS STRUCTURALLY SOUND; THESE HOMES WERE LARGELY BUILT QUICKLY AS THE CITY WAS EXPANDING TO ACCOMMODATE MILL WORKERS AND THEIR FAMILIES. HOUSING IN THE DOWNTOWN NEIGHBORHOOD HAS CHANGED WITH THE TIMES. AT ITS HEYDAY, THE UPPER FLOORS OF MANY DOWNTOWN BUILDINGS WERE USED FOR RESIDENTIAL PURPOSES, INTERSPERSED AMONG OFFICES. AS DOWNTOWN ACTIVITY DWINDLED IN THE 1960’S INTO THE TWENTY-FIRST CENTURY, RESIDENTS FLED DOWNTOWN AS PART OF EITHER URBAN RENEWAL OR A PREFERENCE FOR SUBURBAN LIVING, LEAVING THOSE THAT COULD NOT AFFORD TO MOVE AS THE SOLE DOWNTOWN RESIDENTS. ONLY WITHIN THE LAST DECADE HAS RESIDENTIAL DEVELOPMENT SEEN AN UPTICK. WHILE MANY NEW DEVELOPMENTS HAVE BEEN FOCUSED ON UPSCALE LOFT APARTMENTS, AFFORDABLE HOUSING DEVELOPMENTS ARE NOT UNHEARD OF DOWNTOWN.</p> <p>COMMERCIALLY, DOWNTOWN IS VERY STRONG. GROUND-FLOOR SPACE THAT WAS VACANT FOR MANY YEARS UNTIL RECENTLY IS NOW ALMOST FULLY OCCUPIED THROUGHOUT DOWNTOWN. THE UPPER FLOORS OF MANY DOWNTOWN BUILDINGS ARE BEGINNING TO HOUSE OFFICES AGAIN, AS WELL. DOWNTOWN REMAINS THE CORE OF COMMERCIAL ACTIVITY IN THE CITY OF UTICA. COMMERCIAL ACTIVITY IN CORNHILL AND WEST UTICA IS LARGELY RESERVED FOR SMALL, NEIGHBORHOOD COMMERCIAL USES, SUCH AS SMALL GROCERY STORES OR CONVENIENCE STORES.</p> |
| <p>HOW DID YOUR CONSULTATION AND CITIZEN PARTICIPATION PROCESS HELP YOU TO IDENTIFY THIS NEIGHBORHOOD AS A TARGET AREA?</p> | <p>ONE OF THE COMMENTS MADE DURING THE PUBLIC MEETINGS HELD THIS YEAR WAS TO ASK THE CITY TO MOVE ITS FAÇADE PROGRAM TO OTHER AREAS OF THE CITY, PARTICULARLY WITHIN THE CDBG TARGET AREA. FOR THE PAST FOUR YEARS, THE CITY HAS FOCUSED ITS COMMERCIAL FAÇADE PROGRAM ON BLEECKER STREET AND GENESEE STREET, BOTH WITHIN THE DOWNTOWN NEIGHBORHOOD. AS A RESULT OF THE COMMENT, THE CITY WILL SHIFT ITS FOCUS TO OTHER AREAS OF THE DOWNTOWN NEIGHBORHOOD AND THE AREA OF WEST UTICA SURROUNDING THE NEW MVHS INTEGRATED HEALTH CAMPUS</p> |

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| IDENTIFY THE NEEDS IN THIS TARGET AREA. | NEEDS WITHIN THE CITY’S CDBG TARGET AREA ARE MANY. INFRASTRUCTURE NEEDS TOP THE LIST WITH STREET RECONSTRUCTION AND REPLACEMENT OF AGING, DECAYING UTILITIES AS PRIORITY PROJECTS. COMMERCIAL, THE JAMES STREET AREA OF CORNHILL AND COLUMBIA SQUARE IN WEST UTICA DESPERATELY NEED ATTENTION, BUT CONTINUE TO LACK ANY SIGNIFICANT LEVEL OF PRIVATE REDEVELOPMENT INTEREST THAT WOULD MAKE AN INFUSION OF THE CDBG FUNDS WORTHWHILE. THE ORISKANY BOULEVARD/ERIE STREET CORRIDOR HAS STARTED TO SEE PRIVATE REDEVELOPMENT INTEREST BUT WILL REQUIRE BROWNFIELD FUNDING IN ORDER TO CONTINUE THE MOMENTUM. FROM THE PERSPECTIVE OF HOUSING, CORNHILL HAS SEEN SIGNIFICANT INVESTMENT – CONSIDERABLE DEMOLITION/CLEARANCE FOLLOWED BY A GENEROUS MIX OF NEW CONSTRUCTION AND REHABILITATION. WEST UTICA NOW REQUIRES THE SAME KIND OF MULTI-YEAR, FOCUSED ATTENTION. FEWER PROPERTIES IN WEST UTICA COME TO THE CITY IN ANY GIVEN YEAR THROUGH THE TAX FORECLOSURE PROCESS, THEREBY REQUIRING ACQUISITION AS PART OF ANY REDEVELOPMENT SCHEME. |
| WHAT ARE THE OPPORTUNITIES FOR IMPROVEMENT IN THIS TARGET AREA? | AS NOTED IN OTHER AREAS OF THIS PLAN, THERE ARE A NUMBER OF HIGH-PROFILE, HIGH-IMPACT PROJECTS CURRENTLY UNDER CONSTRUCTION IN WEST UTICA, DOWNTOWN AND CORNHILL. IN WEST UTICA, THE REDEVELOPMENT OF THE FORMER CITY-OWNED INDOOR AUTO SITE TO ACCOMMODATE THE RELOCATION OF THE FITNESS MILL FROM NEW YORK MILLS ALONG WITH THE MIXED-INCOME, RESIDENTIAL REDEVELOPMENT OF THE GLOBE MILL COMPLEX ARE POSITIVES FOR THE NEIGHBORHOOD AND OPPORTUNITIES FOR FURTHER REDEVELOPMENT. DOWNTOWN, THE NEARLY \$500 MILLION MVHS PROJECT COMBINED WITH THE \$44 MILLION NEXUS PROJECT ACROSS THE STREET BODE WELL FOR THE FUTURE VITALITY OF DOWNTOWN AND WILL SURELY RESULT IN ADDITIONAL COMMERCIAL AND RESIDENTIAL DEVELOPMENT IN THE SURROUNDING AREA. IN CORNHILL, PROJECTS LIKE THE ROOSEVELT RESIDENCES WILL ALSO ENCOURAGE FUTURE REDEVELOPMENT. |
| ARE THERE BARRIERS TO IMPROVEMENT IN THIS TARGET AREA? | THE MOST SIGNIFICANT BARRIER TO IMPROVEMENT IS AVAILABILITY OF FUNDS – BOTH PRIVATE AND PUBLIC DOLLARS. THE CITY OF UTICA’S CDBG TARGET AREA COVERS A LARGE AREA OF THE CITY AND AVAILABLE FUNDS WILL BE SPREAD THIN, PARTICULARLY NOW IN LIGHT OF THE CORONAVIRUS PANDEMIC. |

GENERAL ALLOCATION PRIORITIES

DESCRIBE THE BASIS FOR ALLOCATING INVESTMENTS GEOGRAPHICALLY WITHIN THE JURISDICTION (OR WITHIN THE EMSA FOR HOPWA)

THROUGHOUT THE DURATION OF THE 2020 – 2024 CONSOLIDATED PLAN, THE CITY OF UTICA WILL FOCUS THE MAJORITY OF ITS COMMUNITY DEVELOPMENT BLOCK GRANT, HOME INVESTMENT PARTNERSHIP AND EMERGENCY SOLUTIONS

GRANT FUNDS WITHIN THE CDBG TARGET AREA. THE CITY’S CDBG TARGET AREA ENCOMPASSES THOSE AREAS OF THE CITY WHERE AT LEAST 51% OF THE RESIDENTS HAVE A HOUSEHOLD INCOME THAT IS AT 80% OR LOWER THAN THE AREA MEDIAN INCOME (AMI).

WITHIN THE LARGER CDBG TARGET AREA, HOWEVER, THE CITY WILL PRIORITIZE SEVERAL KEY AREAS.

AS HAS BEEN NOTED IN PREVIOUS ANNUAL ACTION PLANS, THE CITY WILL CONTINUE TO FOCUS ON THE WEST UTICA NEIGHBORHOOD. FOR THE PAST TWO DECADES, THE CITY HAS ALLOCATED AND EXPENDED CONSIDERABLE RESOURCES IN THE CITY’S CORNHILL NEIGHBORHOOD. FROM THE MILLIONS OF DOLLARS SPENT ON HOUSING UNDER THE HOPE VI INITIATIVE IN THE EARLY 2000’S TO THE MOST RECENT ROOSEVELT RESIDENCES PROJECT, THIS FOCUS HAS DRAWN ATTENTION AND FUNDING FROM THE WEST UTICA NEIGHBORHOOD. WITH RECENT PROJECTS LIKE THE GLOBE MILL HOUSING PROJECT AND COMMERCIAL PROJECTS LIKE THE RELOCATION OF THE FITNESS MILL FROM NEW YORK MILLS TO ERIE STREET IN WEST UTICA, HOWEVER, IT IS CLEAR THAT THE USE OF FEDERAL ENTITLEMENT MONIES CAN LEVERAGE PRIVATE DEVELOPMENT FUNDS IN WEST UTICA.

ON THE PERIPHERY OF THE WEST UTICA NEIGHBORHOOD, A SECOND AREA THAT WILL BE A FOCUS FOR THE CITY IN THE 2020 – 2024 CONSOLIDATED PLAN TERM IS THE AREA THAT SURROUNDS THE NEW INTEGRATED HEALTH CAMPUS BEING CONSTRUCTED BY MOHAWK VALLEY HEALTH SYSTEMS (MVHS). THIS NEW \$485 MILLION FACILITY, BEING BUILT AS THIS PLAN IS BEING DRAFTED, WILL TRULY TRANSFORM THE DOWNTOWN UTICA NEIGHBORHOOD IN A WAY THAT MOST UTICANS HAVE NOT SEEN IN THEIR LIFETIME. TO TRULY MAKE A LASTING IMPACT, THE CITY OF UTICA WILL LOOK TO UTILIZE ITS FEDERAL ENTITLEMENT MONIES TO IMPROVE SURROUNDING STREETSCAPES, CREATE HOUSING FOR THE L/M EMPLOYEES AT THE HOSPITAL AND CREATE EMPLOYMENT OPPORTUNITIES FOR THE CITY’S L/M RESIDENTS FOR THE SUPPORT SERVICES THAT WISH TO BE LOCATED NEAR THE HOSPITAL.

ON THE EASTERN SIDE OF THE NEW HOSPITAL, THE CITY WILL CONTINUE TO EMPHASIZE ITS DOWNTOWN NEIGHBORHOOD. HAVING RECENTLY COMPLETED A DOWNTOWN VISION PLAN IN COLLABORATION WITH THE COMMUNITY FOUNDATION OF HERKIMER & ONEIDA COUNTIES, DOWNTOWN UTICA WAS THE RECIPIENT OF A NOVEMBER 2019 AWARD OF \$10 MILLION FROM GOVERNOR CUOMO THROUGH HIS DOWNTOWN REVITALIZATION INITIATIVE; THOSE FUNDS WILL LEVERAGE TENS OF MILLIONS MORE IN PRIVATE AND NOT-FOR-PROFIT INVESTMENT IN INDIVIDUAL PROJECTS. THE CITY WILL UTILIZE ITS FEDERAL ENTITLEMENT MONIES IN SUPPORT OF THOSE INVESTMENTS, WHERE APPROPRIATE AND APPLICABLE.

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



SP-25 PRIORITY NEEDS - 91.215(A)(2)
PRIORITY NEEDS

TABLE 48 – PRIORITY NEEDS SUMMARY

| | | |
|---|-----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | PRIORITY NEED NAME | HOUSING |
| | PRIORITY LEVEL | HIGH |
| | POPULATION | EXTREMELY LOW LOW MODERATE LARGE FAMILIES FAMILIES WITH CHILDREN ELDERLY PUBLIC HOUSING RESIDENTS |
| | GEOGRAPHIC AREAS AFFECTED | CITY OF UTICA CDBG TARGET AREA |
| | ASSOCIATED GOALS | HOUSING |
| | DESCRIPTION | INCREASE THE SUPPLY OF HEALTHY AND AFFORDABLE SINGLE AND MULTI-FAMILY HOUSING AND LINKED HOUSING SERVICES FOR EXTREMELY LOW AND LOW- AND MODERATE-INCOME RESIDENTS - WITH A FOCUS ON NEW CONSTRUCTION, REHABILITATION AND WHOLE NEIGHBORHOOD REVITALIZATION INCLUDING HOUSING CODE REVISIONS TO MEET THE DEMANDS FOR URBAN LIVING. |
| | BASIS FOR RELATIVE PRIORITY | THE 2015 CNA DETERMINED THE NEED FOR DECENT, SAFE AND AFFORDABLE HOUSING. ONEIDA COUNTY HAD REDUCED ITS NUMBER OF CHILDREN WITH THE HIGHEST LEVELS OF LEAD POISONING BY 72% SINCE 2006; THE CURRENT NUMBER, HOWEVER, HASN'T BEEN FULLY IDENTIFIED, AS THE ALLOWABLE LEAD LEVELS IN THE BLOOD OF CHILDREN HAS BEEN LOWERED FROM 10 MICROGRAMS PER DECILITER TO 5 MICROGRAMS PER DECILITER. THIS CHANGE INCREASES THE NUMBER OF CHILDREN CONSIDERED HIGHLY AT-RISK. CHANGES ARE BEING MADE IN TARGET NEIGHBORHOODS THROUGH ABATEMENT AND REHABILITATION PROJECTS THROUGH A \$3.5 MILLION HUD LEAD PAINT HAZARD REDUCTION GRANT AWARDED IN 2019. HOWEVER, THE AREA STILL HAS SOME OF THE HIGHEST RATES IN THE STATE WITH OVER 60% OF THE HOMES BUILT BEFORE 1950. THE INFLUX OF REFUGEE FAMILIES HAS INCREASED THE NEED FOR LARGE FAMILY HOUSING IN THE CDBG TARGET AREA AS WELL AS FAIR HOUSING EDUCATION. CODE REVISIONS ARE NECESSARY TO ENABLE FEASIBLE CONVERSIONS OF OLDER BUILDING TO MEET MODERN HOUSING NEEDS. |
| | | |
| 2 | PRIORITY NEED NAME | HOMELESSNESS |
| | PRIORITY LEVEL | HIGH |

| | | |
|---|-----------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | POPULATION | LOW MODERATE MIDDLE LARGE FAMILIES FAMILIES WITH CHILDREN ELDERLY CHRONIC HOMELESSNESS INDIVIDUALS FAMILIES WITH CHILDREN MENTALLY ILL CHRONIC SUBSTANCE ABUSE VETERANS VICTIMS OF DOMESTIC VIOLENCE UNACCOMPANIED YOUTH ELDERLY FRAIL ELDERLY PERSONS WITH MENTAL DISABILITIES PERSONS WITH PHYSICAL DISABILITIES PERSONS WITH DEVELOPMENTAL DISABILITIES PERSONS WITH ALCOHOL OR OTHER ADDICTIONS |
| | GEOGRAPHIC AREAS AFFECTED | CITY OF UTICA CDBG TARGET AREA |
| | ASSOCIATED GOALS | HOMELESSNESS |
| | DESCRIPTION | THERE IS A NEED FOR HOUSING AND SUPPORT SERVICES FOR HOMELESS PERSONS AND PERSONS AT-RISK OF BECOMING HOMELESS. |
| | BASIS FOR RELATIVE PRIORITY | CONSULTATIONS WITH THE CoC & AGENCIES. |
| 3 | PRIORITY NEED NAME | OTHER SPECIAL NEEDS |
| | PRIORITY LEVEL | HIGH |

| | | |
|---|-----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | POPULATION | <p>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</p> |
| | GEOGRAPHIC AREAS AFFECTED | CITY OF UTICA CDBG TARGET AREA |
| | ASSOCIATED GOALS | OTHER SPECIAL NEEDS |
| | DESCRIPTION | THERE IS A GROWING CRITICAL NEED FOR HOUSING WITH SUPPORT SERVICES (EMPLOYMENT, MENTAL HEALTH, EMERGENCY FOOD AND CHILDCARE, ETC.) WITH A FOCUS ON THE FRAIL ELDERLY, THOSE WITH DRUG AND OTHER ADDICTIONS, VICTIMS OF DOMESTIC ABUSE, AND THE MENTALLY ILL. |
| | BASIS FOR RELATIVE PRIORITY | CoC, HOUSING DATA AND THE 2015 CNA |
| 4 | PRIORITY NEED NAME | COMMUNITY DEVELOPMENT |
| | PRIORITY LEVEL | HIGH |

| | | |
|---|-----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | POPULATION | EXTREMELY LOW LOW MODERATE MIDDLE LARGE FAMILIES FAMILIES WITH CHILDREN ELDERLY PUBLIC HOUSING RESIDENTS ELDERLY FRAIL ELDERLY PERSONS WITH MENTAL DISABILITIES PERSONS WITH PHYSICAL DISABILITIES PERSONS WITH DEVELOPMENTAL DISABILITIES PERSONS WITH ALCOHOL OR OTHER ADDICTIONS PERSONS WITH HIV/AIDS AND THEIR FAMILIES VICTIMS OF DOMESTIC VIOLENCE NON-HOUSING COMMUNITY DEVELOPMENT |
| | GEOGRAPHIC AREAS AFFECTED | CITY OF UTICA CDBG TARGET AREA |
| | ASSOCIATED GOALS | COMMUNITY DEVELOPMENT |
| | DESCRIPTION | THERE IS A CRITICAL NEED TO PROVIDE COMMUNITY FACILITIES, PUBLIC INFRASTRUCTURE, PUBLIC SOCIAL/WELFARE SERVICES, FOOD PROGRAMS, PUBLIC SAFETY, ENVIRONMENTAL DESIGN AND CLEARANCE PROGRAMS. |
| | BASIS FOR RELATIVE PRIORITY | 2015 CNA, SURVEYS AND PUBLIC MEETINGS |
| 5 | PRIORITY NEED NAME | ECONOMIC DEVELOPMENT |
| | PRIORITY LEVEL | HIGH |
| | POPULATION | EXTREMELY LOW LOW MODERATE MIDDLE LARGE FAMILIES FAMILIES WITH CHILDREN ELDERLY PUBLIC HOUSING RESIDENTS NON-HOUSING COMMUNITY DEVELOPMENT |
| | GEOGRAPHIC AREAS AFFECTED | CITY OF UTICA CDBG TARGET AREA |

| | | |
|---|-----------------------------|----------------------------------------------------------------------------------------------------------------------------------|
| | ASSOCIATED GOALS | ECONOMIC DEVELOPMENT |
| | DESCRIPTION | THERE IS A CONTINUING NEED FOR PLANNING, ADMINISTRATION, MANAGEMENT, AND OVERSIGHT OF FEDERAL, STATE, AND LOCAL FUNDED PROGRAMS. |
| | BASIS FOR RELATIVE PRIORITY | CITY STAFF, STAFF EVALUATIONS |
| 6 | PRIORITY NEED NAME | ADMINISTRATION, PLANNING AND MANAGEMENT |
| | PRIORITY LEVEL | HIGH |
| | POPULATION | NON-HOUSING COMMUNITY DEVELOPMENT |
| | GEOGRAPHIC AREAS AFFECTED | CITY OF UTICA CDBG TARGET AREA |
| | ASSOCIATED GOALS | ADMINISTRATION, PLANNING AND MANAGEMENT |
| | DESCRIPTION | THERE IS A CONTINUING NEED FOR PLANNING, ADMINISTRATION, MANAGEMENT, AND OVERSIGHT OF FEDERAL, STATE, AND LOCAL FUNDED PROGRAMS. |
| | BASIS FOR RELATIVE PRIORITY | CITY STAFF, STAFF EVALUATIONS |

NARRATIVE (OPTIONAL)

SP-30 INFLUENCE OF MARKET CONDITIONS – 91.215 (B)

INFLUENCE OF MARKET CONDITIONS

| AFFORDABLE HOUSING TYPE | MARKET CHARACTERISTICS THAT WILL INFLUENCE THE USE OF FUNDS AVAILABLE FOR HOUSING TYPE |
|---------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| TENANT BASED RENTAL ASSISTANCE (TBRA) | AT THIS TIME, THE CITY DOES NOT ANTICIPATE ALLOCATING HOME OR CDBG TENANT-BASED RENTAL ASSISTANCE. WE ANTICIPATE THAT ALL HOUSING RESOURCES WILL BE USED FOR ACQUISITION, NEW CONSTRUCTION AND REHABILITATION. RENTAL ASSISTANCE IS PROVIDED THROUGH OTHER GRANT FUNDING INCLUDING SUPPORTIVE (LIVING) HOUSING PROGRAMS AND SHELTER PLUS CARE AND OTHER PARTNERS. |
| TBRA FOR NON-HOMELESS SPECIAL NEEDS | AT THIS TIME, THERE IS NO PLAN TO UTILIZE HOME OR CDBG FOR PERMANENT TENANT-BASED RENTAL ASSISTANCE FOR NON-HOMELESS SPECIAL NEEDS. RENTAL ASSISTANCE IS PROVIDED THROUGH OTHER GRANT FUNDING INCLUDING SUPPORTIVE (LIVING) HOUSING PROGRAMS AND SHELTER PLUS CARE. TRANSITIONAL RENTAL ASSISTANCE IS PROVIDED THROUGH STATE-FUNDED PARTNERS |
| NEW UNIT PRODUCTION | THERE ARE NUMEROUS VACANT SITES IN THE CITY FOR NEW INFILL HOUSING CONSTRUCTION AND FOR NEW RENTAL CONSTRUCTION WITH OPPORTUNITIES TO CREATE MORE ACCESSIBLE UNITS FOR SPECIAL NEEDS POPULATIONS. THE CITY'S GOAL IS TO PROMOTE THE CREATION AND/OR PRESERVATION OF 250+ UNITS DURING PROGRAM YEARS 2020 THROUGH 2024 UTILIZING PRIVATE FUNDING AND FUNDING FROM A VARIETY OF FEDERAL, STATE AND LOCAL SOURCES INCLUDING LOW-INCOME HOUSING TAX CREDITS, HOME, CDBG, AND TAX INCREMENT FINANCING. AN ADDITIONAL PRODUCTION GOAL IS TO CREATE/PRESERVE 150 UNITS FOR LOW- MODERATE INCOME INDIVIDUALS AND FAMILIES. |
| REHABILITATION | NEIGHBORWORKS, NYSEDA AND NATIONAL GRID PROVIDE FUNDING TO IMPROVE AND PRESERVE HOMES THROUGH REHABILITATION AND ENERGY UPDATES USING PRIVATE AND PUBLIC FUNDING INCLUDING AHC AND LOW INCOME TAX CREDITS. IN ADDITION, THE CITY RECEIVED A \$3.5 MILLION LEAD PAINT HAZARD REDUCTION GRANT FROM HUD TO REHABILITATE 180 HOUSING UNITS. THE CITY ANTICIPATES THAT 330+ HOMES WILL BE REHABILITATED DURING 2020-2024. |
| ACQUISITION, INCLUDING PRESERVATION | AS THE CITY FOCUSES ON NEIGHBORHOOD DEVELOPMENT STRATEGIES, IT IS BECOMING A PRIORITY TO REHABILITATE AND PRESERVE THE BUILDINGS TO PRESERVE THE UNIQUE URBAN FABRIC OF THE CITY. |

TABLE 49 – INFLUENCE OF MARKET CONDITIONS

SP-35 ANTICIPATED RESOURCES - 91.215(A)(4), 91.220(c)(1,2)
INTRODUCTION

ANTICIPATED RESOURCES

| PROGRAM | SOURCE OF FUNDS | USES OF FUNDS | EXPECTED AMOUNT AVAILABLE YEAR 1 | | | | EXPECTED AMOUNT AVAILABLE REMAINDER OF CONPLAN \$ | NARRATIVE DESCRIPTION |
|---------|------------------|----------------------------------------------------------------------------------------------------------------|----------------------------------|-----------------------|-----------------------------|--------------|---------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | | ANNUAL ALLOCATION: \$ | PROGRAM INCOME: \$ | PRIOR YEAR RESOURCES: \$ | TOTAL: \$ | | |
| CDBG | PUBLIC - FEDERAL | ACQUISITION ADMIN AND PLANNING ECONOMIC DEVELOPMENT HOUSING PUBLIC IMPROVEMENTS PUBLIC SERVICES | 2,566,751 | 280,000 | 150,000 | 2,996,751 | 10,000,000 | FUNDS WILL BE USED FOR COMMUNITY AND ECONOMIC DEVELOPMENT INITIATIVES IN LOW-AND MODERATE INCOME NEIGHBORHOODS, INCLUDING AFFORDABLE HOUSING, HOUSING PRESERVATION, PUBLIC SERVICES FOR AT-RISK POPULATIONS AND PUBLIC INFRASTRUCTURE IMPROVEMENTS.THE CITY WILL TRANSFER \$150,000 IN CDBG REVOLVING LOAN FUND PROCEEDS/PROGRAM INCOME TO DEMOLITION IN THE CURRENT 2020-2021 PROGRAM YEAR. |

| PROGRAM | SOURCE OF FUNDS | USES OF FUNDS | EXPECTED AMOUNT AVAILABLE YEAR 1 | | | | EXPECTED AMOUNT AVAILABLE REMAINDER OF CONPLAN \$ | NARRATIVE DESCRIPTION |
|---------|------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|--------------------|--------------------------|-----------|---------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | | ANNUAL ALLOCATION: \$ | PROGRAM INCOME: \$ | PRIOR YEAR RESOURCES: \$ | TOTAL: \$ | | |
| HOME | PUBLIC - FEDERAL | ACQUISITION HOMEBUYER ASSISTANCE HOMEOWNER REHAB MULTIFAMILY RENTAL NEW CONSTRUCTION MULTIFAMILY RENTAL REHAB NEW CONSTRUCTION FOR OWNERSHIP TBRA | 658,303 | 0 | 0 | 658,303 | 2,600,000 | HOME FUNDS WILL BE USED TO DEVELOP AFFORDABLE HOUSING FOR LOW INCOME FAMILIES, INCLUDING NEW CONSTRUCTION AND REHABILITATION OF SINGLE- AND MULTI-FAMILY UNITS. |

| PROGRAM | SOURCE OF FUNDS | USES OF FUNDS | EXPECTED AMOUNT AVAILABLE YEAR 1 | | | | EXPECTED AMOUNT AVAILABLE REMAINDER OF CONPLAN \$ | NARRATIVE DESCRIPTION |
|---------|------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|--------------------|--------------------------|-----------|---------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | | ANNUAL ALLOCATION: \$ | PROGRAM INCOME: \$ | PRIOR YEAR RESOURCES: \$ | TOTAL: \$ | | |
| ESG | PUBLIC - FEDERAL | CONVERSION AND REHAB FOR TRANSITIONAL HOUSING FINANCIAL ASSISTANCE OVERNIGHT SHELTER RAPID RE-HOUSING (RENTAL ASSISTANCE) RENTAL ASSISTANCE SERVICES TRANSITIONAL HOUSING | 215,750 | 0 | 140,084 | 355,834 | 840,000 | ESG FUNDS WILL BE USED TO ASSIST HOMELESS INDIVIDUALS WITH SHELTER SERVICES, TRANSITIONAL HOUSING, AND RAPID RE-HOUSING SERVICES. THE 2020-2021 PROGRAM YEAR WILL BE SUPPLEMENTED BY \$140,084 IN ESG FUNDS FROM PROGRAM YEARS BETWEEN 2016 AND 2019 THAT WERE NO LONGER ELIGIBLE FOR THEIR PRIOR USE. |
| OTHER | PUBLIC - FEDERAL | ADMIN AND PLANNING ECONOMIC DEVELOPMENT FINANCIAL ASSISTANCE PUBLIC SERVICES RAPID RE-HOUSING (RENTAL ASSISTANCE) OTHER | 1,510,166 | 0 | 0 | 1,510,166 | 0 | CDBG-CV FUNDS TO BE USED TO PREVENT, PREPARE FOR, AND RESPOND TO CORONAVIRUS |

| PROGRAM | SOURCE OF FUNDS | USES OF FUNDS | EXPECTED AMOUNT AVAILABLE YEAR 1 | | | | EXPECTED AMOUNT AVAILABLE REMAINDER OF CONPLAN \$ | NARRATIVE DESCRIPTION |
|---------|------------------|--------------------------|----------------------------------|--------------------|--------------------------|-----------|---------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | | ANNUAL ALLOCATION: \$ | PROGRAM INCOME: \$ | PRIOR YEAR RESOURCES: \$ | TOTAL: \$ | | |
| OTHER | PUBLIC - FEDERAL | OTHER | 1,230,055 | 0 | 0 | 1,230,055 | 0 | TO PREVENT, PREPARE FOR AND RESPOND TO THE CORONAVIRUS PANDEMIC FOR THE BENEFIT OF THOSE IN THE CITY OF UTICA THAT ARE EITHER CURRENTLY HOMELESSNESS OR IN DANGER OF BECOMING HOMELESS |
| OTHER | PUBLIC - FEDERAL | PUBLIC SERVICES OTHER | 679,576 | 0 | 0 | 679,576 | 0 | CARES ACT CDBG-CV (III) |

TABLE 50 - ANTICIPATED RESOURCES

EXPLAIN HOW FEDERAL FUNDS WILL LEVERAGE THOSE ADDITIONAL RESOURCES (PRIVATE, STATE AND LOCAL FUNDS), INCLUDING A DESCRIPTION OF HOW MATCHING REQUIREMENTS WILL BE SATISFIED

THE CITY OF UTICA HAS GROWN ADEPT AT LEVERAGING ITS SCARCE RESOURCES FOR ITS PRIORITY PROJECTS TO SECURE ADDITIONAL SOURCES OF FUNDING. FOR THE PAST SEVERAL YEARS AND FOR THE NEXT SEVERAL YEARS MOVING FORWARD, STATE DOLLARS ARE MADE AVAILABLE MOST OFTEN THROUGH GOVERNOR CUOMO'S CONSOLIDATED FUNDING APPLICATION (CFA) ROUNDS. THE CITY HAS UTILIZED ITS FEDERAL DOLLARS, WHERE APPLICABLE, AS A LOCAL MATCH TO SECURE STATE FUNDING THROUGH THE CFA PROCESS.

RELATIVE TO MATCH REQUIREMENTS, THE CITY OF UTICA ANTICIPATES RECEIVING A 100% MATCH REDUCTION FROM HUD FOR ITS HOME PROGRAM; NO ADDITIONAL ANTICIPATED RESOURCES ARE REQUIRED. HOWEVER, APPLICATIONS PROVIDING LEVERAGED FUNDS FROM STATE, LOCAL, LIHTC OR PRIVATE SOURCES ARE GIVEN PREFERENCE. IN ITS ESG PROGRAM, APPLICANTS ARE REQUIRED TO INDICATE HOW THEY INTEND TO MATCH THE FUNDS PROVIDED TO THEM AND THE SOURCE OF THOSE FUNDS. FINALLY, WHILE CDBG DOES NOT HAVE SET MATCHING REQUIREMENTS, THE CITY DOES ASK THAT PUBLIC SERVICES AGENCIES INDICATE THE SOURCE AND EXTENT OF MATCHING FUNDS AGAINST ITS CDBG ALLOCATION. ADDITIONALLY, FINANCING FROM PRIVATE SOURCES OR BANKS ARE REQUIRED OF ANY LOAN APPLICANT FROM THE CITY'S ECONOMIC REINVESTMENT PROGRAM.

IF APPROPRIATE, DESCRIBE PUBLICALLY OWNED LAND OR PROPERTY LOCATED WITHIN THE JURISDICTION THAT MAY BE USED TO ADDRESS THE NEEDS IDENTIFIED IN THE PLAN

THE CITY OF UTICA IS SPATIALLY CONSTRAINED AND HIGHLY DEVELOPED. AS SUCH, THERE ARE NO 'GREENFIELDS' ON WHICH NEW DEVELOPMENT CAN BE PLANNED. THEREFORE, ECONOMIC DEVELOPMENT IN THE CITY OF UTICA MUST RELY ON AN AGGRESSIVE BROWNFIELD REDEVELOPMENT PROGRAM. GIVEN THE LIABILITY RISK IN OWNING SUCH PROPERTIES, THE CITY OF UTICA DOES NOT OWN LARGE SWATHS OF SUCH LAND. THE CITY OF UTICA HAS HISTORICALLY NOT ALLOCATED CDBG FUNDS TO BROWNFIELD PROJECTS. HOWEVER, GIVEN THE OBVIOUS NEED AT THIS TIME, FUNDS HAVE BEEN ALLOCATED TO SUCH A PROGRAM IN THE CURRENT 2020 – 2021 PROGRAM YEAR.

DISCUSSION

IN 2021, A SUBSTANTIAL AMENDMENT WAS DRAFTED TO REALLOCATE OLD MONEY TO CURRENT PROJECTS. IN THE CDBG PROGRAM, \$150,000 IS BEING MOVED FROM THE PROGRAM'S REVOLVING LOAN FUND PROCEEDS/PROGRAM INCOME TO DEMOLITION PROJECTS IN THE 2021-2022 PROGRAM YEAR. IN THE ESG PROGRAM, \$140,084 IN FUNDS ALLOCATED TO AGENCIES NO LONGER UNDER CONTRACT OR FOR ACTIVITIES NO LONGER ELIGIBLE UNDER THE ESG PROGRAM GUIDELINES IS BEING MOVED TO SUPPLEMENT A VARIETY OF ELIGIBLE ESG ACTIVITIES.

JOHNSON PARK CENTER SHELTER EMERGENCY REPAIRS - \$18,900 / RESCUE MISSION SHELTER SERVICES PROVIDED BEYOND ORIGINAL SCOPE - \$10,000 / UTICA CENTER FOR DEVELOPMENT HOMELESSNESS PREVENTION SERVICES EXPANSION - \$10,000 / UTICA MUNICIPAL HOUSING AUTHORITY HOMELESS STREET OUTREACH PURCHASE OF REPLACEMENT TRANSPORT VEHICLE - \$13,703 / YWCA HALL HOUSE SHELTER REPAIRS AND UPGRADES - \$10,000 / ICAN RAPID REHOUSING EXPANSION - \$57,481 (REPLACES AMOUNT PREVIOUSLY DETERMINED TO BE AVAILABLE FROM OLD MONEY) / UTICA MUNICIPAL HOUSING AUTHORITY RAPID REHOUSING PROGRAM EXPANSION - \$20,000

SP-40 INSTITUTIONAL DELIVERY STRUCTURE – 91.215(k)

EXPLAIN THE INSTITUTIONAL STRUCTURE THROUGH WHICH THE JURISDICTION WILL CARRY OUT ITS CONSOLIDATED PLAN
INCLUDING PRIVATE INDUSTRY, NON-PROFIT ORGANIZATIONS, AND PUBLIC INSTITUTIONS.

| RESPONSIBLE ENTITY | RESPONSIBLE ENTITY TYPE | ROLE | GEOGRAPHIC AREA SERVED |
|----------------------------------------------------|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|------------------------|
| CITY OF UTICA | GOVERNMENT | ECONOMIC DEVELOPMENT NON-HOMELESS SPECIAL NEEDS PLANNING NEIGHBORHOOD IMPROVEMENTS PUBLIC FACILITIES PUBLIC SERVICES | JURISDICTION |
| UTICA MUNICIPAL HOUSING AUTHORITY | PHA | PUBLIC HOUSING | JURISDICTION |
| MOHAWK VALLEY HOUSING AND HOMELESS COALITION | CONTINUUM OF CARE | HOMELESSNESS | JURISDICTION |
| JOHNSON PARK CENTER | NON-PROFIT ORGANIZATIONS | HOMELESSNESS NON-HOMELESS SPECIAL NEEDS | |
| YWCA OF THE MOHAWK VALLEY | NON-PROFIT ORGANIZATIONS | HOMELESSNESS NON-HOMELESS SPECIAL NEEDS | |
| ICAN | NON-PROFIT ORGANIZATIONS | HOMELESSNESS NON-HOMELESS SPECIAL NEEDS | |
| UTICA CENTER FOR DEVELOPMENT | NON-PROFIT ORGANIZATIONS | HOMELESSNESS NON-HOMELESS SPECIAL NEEDS | |
| RESCUE MISSION OF UTICA | NON-PROFIT ORGANIZATIONS | HOMELESSNESS NON-HOMELESS SPECIAL NEEDS | |

TABLE 51 - INSTITUTIONAL DELIVERY STRUCTURE
ASSESS OF STRENGTHS AND GAPS IN THE INSTITUTIONAL DELIVERY SYSTEM

THE CITY OF UTICA’S STRENGTH IS ITS NETWORK OF COMMUNITY ORGANIZATIONS AND INDIVIDUALS DEDICATED TO IMPROVING THE QUALITY OF LIFE IN THE CITY. HOWEVER, THERE ARE COMMUNICATION GAPS AND RESULTING DUPLICATIONS OF SERVICE. FURTHERMORE, AS THE COUNTY SEAT, A US RESETTLEMENT COMMITTEE, AND THE NANO UTICA SITE, THE CITY STRUGGLES WITH LIMITED CAPACITY TO UNITE EFFORTS AND PROVIDE ADEQUATE STAFF AND RESOURCES TO MEET THE EVER GROWING AND CHANGING NEEDS OF THE RESIDENTS WHILE TRYING TO GROW AND SUSTAIN OPERATIONS.

AVAILABILITY OF SERVICES TARGETED TO HOMELESS PERSONS AND PERSONS WITH HIV AND MAINSTREAM SERVICES

| HOMELESSNESS PREVENTION SERVICES | AVAILABLE IN THE COMMUNITY | TARGETED TO HOMELESS | TARGETED TO PEOPLE WITH HIV |
|------------------------------------|----------------------------|----------------------|-----------------------------|
| HOMELESSNESS PREVENTION SERVICES | | | |
| | | | |
| COUNSELING/ADVOCACY | X | X | |
| LEGAL ASSISTANCE | X | X | |
| MORTGAGE ASSISTANCE | X | X | |
| RENTAL ASSISTANCE | X | X | |
| UTILITIES ASSISTANCE | X | X | |
| STREET OUTREACH SERVICES | | | |
| LAW ENFORCEMENT | X | | |
| MOBILE CLINICS | X | | |
| OTHER STREET OUTREACH SERVICES | X | X | |
| SUPPORTIVE SERVICES | | | |
| ALCOHOL & DRUG ABUSE | X | X | |
| CHILD CARE | X | X | |
| EDUCATION | X | X | |
| EMPLOYMENT AND EMPLOYMENT TRAINING | X | X | |
| HEALTHCARE | X | X | |
| HIV/AIDS | X | X | X |
| LIFE SKILLS | X | X | |
| MENTAL HEALTH COUNSELING | X | X | |
| TRANSPORTATION | X | X | |
| OTHER | | | |
| | | | |

TABLE 52 - HOMELESS PREVENTION SERVICES SUMMARY

DESCRIBE HOW THE SERVICE DELIVERY SYSTEM INCLUDING, BUT NOT LIMITED TO, THE SERVICES LISTED ABOVE MEET THE NEEDS OF HOMELESS PERSONS (PARTICULARLY CHRONICALLY HOMELESS INDIVIDUALS AND FAMILIES, FAMILIES WITH CHILDREN, VETERANS AND THEIR FAMILIES, AND UNACCOMPANIED YOUTH)

THE ABOVE LISTED SERVICES MEET THE NEEDS OF HOMELESS PERSONS IN MANY WAYS, PARTICULARLY THE MOST VULNERABLE AND CHRONIC CASES. ONE SPECIFIC WAY IS THROUGH OUR HOUSING PROGRAMS, AS OUR CoC FOLLOWS THE HUD HOUSING FIRST MODEL. WITHIN OUR COMMUNITY WE HAVE RAPID REHOUSING ASSISTANCE THROUGH CENTRAL NEW YORK SERVICES AND MUNICIPAL HOUSING AUTHORITY (ESG) WHICH ASSISTS HOMELESS CLIENTS WITH SECURITY DEPOSIT AND UP TO SIX MONTHS' RENT. DURING THIS TIME THE CASE MANAGERS WILL WORK WITH THE CLIENT TO ENSURE THEY WILL BE ABLE TO ACHIEVE HOUSING STABILITY ONCE CLOSED TO THE PROGRAM. ADDITIONALLY, CENTRAL NEW YORK SERVICES HAS PERMANENT SUPPORTIVE HOUSING THROUGH ITS SHELTER PLUS PROGRAM. THIS PROJECT TARGETS OUR HIGH NEED HOMELESS POPULATION WHO ARE SUFFERING FROM MENTAL HEALTH OR SUBSTANCE ABUSE. THIS IS A LONG-TERM HOUSING PROGRAM IN WHICH CLIENTS CAN RECEIVE ASSISTANCE WITH RENT AND ARE CONTINUALLY ENGAGED WITH SUPPORT SERVICES. VETERAN SPECIFIC PROGRAMS INCLUDE HUD-VASH THROUGH THE VA AS WELL AS RAPID REHOUSING THROUGH THE CENTRAL NEW YORK VETERANS OUTREACH CENTER. ADDITIONALLY, THE VETERAN OUTREACH CENTER THROUGH AN ESSHI PROJECT ADDED 7 PERMANENT SUPPORTIVE HOUSING UNITS AND 10 TRANSITIONAL UNITS. INCREASING THE HOUSING INVENTORY SPECIFIC FOR VETERANS. JOHNSON PARK CENTER PROVIDES SPECIAL NEEDS HOUSING FOR HOMELESS WOMAN AND CHILDREN. A PLACE WHERE WOMEN AND THEIR FAMILIES CAN GET A NEW START WITH SUPPORTIVE SERVICES FOCUSED TOWARD FAMILY REUNIFICATION AND THE RECOVERY PROCESS. IN ADDITION, JPC HAS 24

PERMANENT SUPPORTIVE HOUSING UNITS FOR CHRONICALLY HOMELESS SINGLE WOMEN. JOHNSON PARK CENTER WILL EXPAND THEIR SERVICES TO SENIORS, A CURRENT GAP IN SERVICES; A PERMANENT SUPPORTIVE HOUSING PROJECT IS ALIGNED FOR HOMELESS SENIORS IN THE CITY OF UTICA. RESCUE MISSION HAS THE WEST STREET APARTMENTS COMPLEX WITH MORE THAN 40+ AFFORDABLE APARTMENTS, WHICH INCLUDES SIX DESIGNATED HOMELESS UNITS WITH SUPPORT SERVICES. THE YWCA SERVES MANY FAMILIES WITH CHILDREN FLEEING DOMESTIC VIOLENCE WITH THE TH-RRH PROGRAMS AND ADDITIONAL BONUS FUNDING ACQUIRE THIS YEAR THROUGH HUD FOR RAPID REHOUSING.

THE CITY OF UTICA HAS A STREET OUTREACH PROGRAM (ESG) WITH MUNICIPAL HOUSING AUTHORITY WHICH WORKS CLOSELY WITH THE COORDINATED ENTRY SPECIALIST FOR HMIS. IT HAS MADE SIGNIFICANT DIFFERENCE IN OUR CITY HAVING SOP. HOMELESS INDIVIDUALS HAVE BEEN IDENTIFIED AND CONNECTED TO SERVICES AND PERMANENT HOUSING. FURTHERMORE, ONEIDA COUNTY HAS RECEIVED FUNDS (STHP) TO BEGIN A STREET OUTREACH PROGRAM THAT WILL SPECIFICALLY TARGET THOSE WHO ARE STREET HOMELESS BY HUD DEFINITION. THESE WORKERS WILL COVER ALL OF ONEIDA COUNTY HOWEVER WITH WORK CLOSELY WITH THE CITY OF UTICA SOP. THEY WILL ASSIST CLIENTS WITH GETTING INTO SHELTER, HOUSING AND ENGAGED WITH APPROPRIATE SERVICES. THIS PROGRAM WILL TARGET ALL POPULATIONS FROM CHRONICALLY HOMELESS TO VETERANS IN NEED. OTHER AGENCIES WHO ENGAGE IN OUTREACH INCLUDE ACR HEALTH AND THE CNY VETERANS OUTREACH CENTER.

OUR CITY HAS TWO TRANSITIONAL HOUSING PROGRAMS FOR YOUTH: ONE FOR HOMELESS YOUNG SINGLE WOMEN VICTIM OF DOMESTIC VIOLENCE OR SEXUAL ASSAULT WITH THE YWCA- SAFE HORIZONS, AND ONE FOR HOMELESS YOUTH PREGNANT AND PARENTING WOMEN, EVELYN'S HOUSE. EVELYN'S HOUSE PROVIDES SERVICES AND HOUSING ASSISTANCE TO YOUNG WOMEN/ YOUTH WHO ARE PREGNANT AND PARENTING AND HAVE EXPANDED THEIR SERVICES TO TH-RRH. TH-RRH PROGRAM ALLOWS THE YOUTH TO EVENTUALLY OBTAIN PERMANENT HOUSING WITH ADDITIONAL SUPPORT SERVICES IN RRH. IN ADDITION, THE CITY OF UTICA HAS A SHELTER-GRADY'S WAY FOR BOYS 12-18 YEARS OF AGE. GRADY'S WAY HAS 11 BEDS AND 3 PERMANENT SUPPORTIVE HOUSING APARTMENTS FOR TRANSITIONAL AGE YOUTH AGES 18-24.

DESCRIBE THE STRENGTHS AND GAPS OF THE SERVICE DELIVERY SYSTEM FOR SPECIAL NEEDS POPULATION AND PERSONS EXPERIENCING HOMELESSNESS, INCLUDING, BUT NOT LIMITED TO, THE SERVICES LISTED ABOVE

OUR KEY SERVICE DELIVERY SYSTEM STRENGTHS INCLUDE A STRONG SERVICE SET- INCLUDING CRISIS, SHELTER AND TRANSITIONAL HOUSING SERVICES- FOR DV VICTIMS AND THEIR CHILDREN; SERVICES FOR VETERANS AND THEIR FAMILY MEMBERS, AND PERMANENT SUPPORTIVE HOUSING SERVICES FOR PERSONS WITH A BEHAVIORAL HEALTH DISABILITY. OUR LARGEST CURRENT SERVICE GAPS INCLUDE DROP-IN SERVICES AND TEMPORARY SHELTER FOR UNACCOMPANIED AND HOMELESS YOUTH IN THE CITY (CURRENTLY HAVE NONE) AND EXTREMELY AFFORDABLE HOUSING FOR OUR VERY LOW-INCOME RESIDENTS WHO ARE UNABLE TO AFFORD EVEN \$500/MONTH FOR A ROOM OR SMALL APARTMENT.

PROVIDE A SUMMARY OF THE STRATEGY FOR OVERCOMING GAPS IN THE INSTITUTIONAL STRUCTURE AND SERVICE DELIVERY SYSTEM FOR CARRYING OUT A STRATEGY TO ADDRESS PRIORITY NEEDS

THE CITY OF UTICA COMPLETED A COMPREHENSIVE NEEDS ASSESSMENT IN PARTNERSHIP WITH THE HUD ALBANY OFFICE HERE IN UPSTATE, NY IN 2015, AND ONE OF OUR PRIMARY STRATEGIES FOR DEVELOPING MORE AFFORDABLE HOUSING IS TO STRENGTHEN AND EXPAND OUR PARTNERSHIPS WITH KEY NOT-FOR-PROFIT AND PRIVATE SECTOR PARTNERS TO DEVELOP MORE MIXED USE AND AFFORDABLE HOUSING IN SELECT HIGH-NEED NEIGHBORHOODS.

WITH REGARD TO ADDRESSING SERVICE GAPS FOR OUR HOMELESS YOUTH POPULATION, THE CoC's RUNAWAY AND HOMELESS YOUTH TASK GROUP HAS DEVELOPED A DROP-IN CENTER AND EMERGENCY HOUSING SERVICES AND HAS

ALREADY MADE SUBSTANTIAL PROGRESS INCLUDING SECURING NEW SPACE FOR A DROP IN CENTER IN UTICA, AND FUNDING FOR OUR CITY'S FIRST HOMELESS YOUTH SHELTER, GRADY'S WAY, WHICH OFFICIALLY BEGAN TAKING CLIENTS IN EARLY 2020. THE CONTINUUM OF CARE HAS ALSO ESTABLISHED A DEDICATED INTAKE COORDINATOR THROUGH THE UNITED WAY TO PROCESS APPLICANTS TO THE SYSTEM AND DIRECT THEM TO NEEDED SERVICES.

SP-45 GOALS SUMMARY – 91.215(A)(4)

GOALS SUMMARY INFORMATION

| SORT ORDER | GOAL NAME | START YEAR | END YEAR | CATEGORY | GEOGRAPHIC AREA | NEEDS ADDRESSED | FUNDING | GOAL OUTCOME INDICATOR |
|------------|---------------------|------------|----------|----------------------------|-----------------------------------|---------------------|---------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | HOUSING | 2020 | 2024 | AFFORDABLE HOUSING | CITY OF UTICA CDBG TARGET AREA | HOUSING | HOME: \$3,258,303 | RENTAL UNITS CONSTRUCTED: 100 HOUSEHOLD HOUSING UNIT RENTAL UNITS REHABILITATED: 100 HOUSEHOLD HOUSING UNIT HOMEOWNER HOUSING ADDED: 25 HOUSEHOLD HOUSING UNIT HOMEOWNER HOUSING REHABILITATED: 50 HOUSEHOLD HOUSING UNIT |
| 2 | HOMELESSNESS | 2020 | 2024 | HOMELESS | CITY OF UTICA CDBG TARGET AREA | HOMELESSNESS | ESG: \$1,087,480 ESG-CV: \$743,966 | TENANT-BASED RENTAL ASSISTANCE / RAPID REHOUSING: 150 HOUSEHOLDS ASSISTED HOMELESS PERSON OVERNIGHT SHELTER: 1000 PERSONS ASSISTED OVERNIGHT/EMERGENCY SHELTER/TRANSITIONAL HOUSING BEDS ADDED: 50 BEDS HOUSING FOR HOMELESS ADDED: 20 HOUSEHOLD HOUSING UNIT |
| 3 | OTHER SPECIAL NEEDS | 2020 | 2024 | NON-HOMELESS SPECIAL NEEDS | CITY OF UTICA CDBG TARGET AREA | OTHER SPECIAL NEEDS | CDBG: \$350,582 | OTHER: 500 OTHER |

| | | | | | | | | |
|---|-----------------------|------|------|-----------------------------------|--------------------------------|-----------------------|-------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4 | COMMUNITY DEVELOPMENT | 2020 | 2024 | NON-HOUSING COMMUNITY DEVELOPMENT | CITY OF UTICA CDBG TARGET AREA | COMMUNITY DEVELOPMENT | CDBG: \$7,927,057 | <p>PUBLIC FACILITY OR INFRASTRUCTURE ACTIVITIES OTHER THAN LOW/MODERATE INCOME HOUSING BENEFIT: 15000 PERSONS ASSISTED</p> <p>PUBLIC FACILITY OR INFRASTRUCTURE ACTIVITIES FOR LOW/MODERATE INCOME HOUSING BENEFIT: 100 HOUSEHOLDS ASSISTED</p> <p>PUBLIC SERVICE ACTIVITIES OTHER THAN LOW/MODERATE INCOME HOUSING BENEFIT: 17500 PERSONS ASSISTED</p> <p>PUBLIC SERVICE ACTIVITIES FOR LOW/MODERATE INCOME HOUSING BENEFIT: 100 HOUSEHOLDS ASSISTED</p> <p>FACADE TREATMENT/BUSINESS BUILDING REHABILITATION: 50 BUSINESS</p> <p>BROWNFIELD ACRES REMEDIATED: 20 ACRE</p> <p>BUSINESSES ASSISTED: 20 BUSINESSES ASSISTED</p> <p>BUILDINGS DEMOLISHED: 20 BUILDINGS</p> |
|---|-----------------------|------|------|-----------------------------------|--------------------------------|-----------------------|-------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

| SORT ORDER | GOAL NAME | START YEAR | END YEAR | CATEGORY | GEOGRAPHIC AREA | NEEDS ADDRESSED | FUNDING | GOAL OUTCOME INDICATOR |
|------------|-----------------------------------------|------------|----------|----------------------|--------------------------------|-----------------------------------------|-------------------|---------------------------------------------|
| 5 | ECONOMIC DEVELOPMENT | 2020 | 2024 | ECONOMIC DEVELOPMENT | CITY OF UTICA CDBG TARGET AREA | ECONOMIC DEVELOPMENT | CDBG: \$2,000,000 | BUSINESSES ASSISTED: 30 BUSINESSES ASSISTED |
| 6 | ADMINISTRATION, PLANNING AND MANAGEMENT | 2020 | 2024 | ADMINISTRATION | CITY OF UTICA CDBG TARGET AREA | ADMINISTRATION, PLANNING AND MANAGEMENT | CDBG: \$2,569,112 | OTHER: 1 OTHER |

TABLE 53 – GOALS SUMMARY

GOAL DESCRIPTIONS

| | | |
|---|------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | GOAL NAME | HOUSING |
| | GOAL DESCRIPTION | INCREASE THE SUPPLY OF HEALTHY AND AFFORDABLE SINGLE AND MULTI-FAMILY HOUSING AND LINKED HOUSING SERVICES FOR EXTREMELY LOW AND LOW- AND MODERATE-INCOME RESIDENTS - WITH A FOCUS ON NEW CONSTRUCTION, REHABILITATION AND WHOLE NEIGHBORHOOD REVITALIZATION INCLUDING HOUSING CODE REVISIONS TO MEET THE DEMANDS FOR URBAN LIVING. |
| 2 | GOAL NAME | HOMELESSNESS |
| | GOAL DESCRIPTION | THERE IS A NEED FOR HOUSING AND SUPPORT SERVICES FOR HOMELESS PERSONS AND PERSONS AT-RISK OF BECOMING HOMELESS. |
| 3 | GOAL NAME | OTHER SPECIAL NEEDS |
| | GOAL DESCRIPTION | THERE IS A GROWING CRITICAL NEED FOR HOUSING WITH SUPPORT SERVICES (EMPLOYMENT, MENTAL HEALTH, EMERGENCY FOOD AND CHILDCARE, ETC.) WITH A FOCUS ON THE FRAIL ELDERLY, THOSE WITH DRUG AND OTHER ADDICTIONS, VICTIMS OF DOMESTIC ABUSE, AND THE MENTALLY ILL. |
| 4 | GOAL NAME | COMMUNITY DEVELOPMENT |
| | GOAL DESCRIPTION | THERE IS A CRITICAL NEED TO PROVIDE COMMUNITY FACILITIES, PUBLIC INFRASTRUCTURE, PUBLIC SOCIAL/WELFARE SERVICES, FOOD PROGRAMS, PUBLIC SAFETY, ENVIRONMENTAL DESIGN AND CLEARANCE PROGRAMS. |
| 5 | GOAL NAME | ECONOMIC DEVELOPMENT |
| | GOAL DESCRIPTION | THERE IS A CONTINUING NEED FOR PLANNING, ADMINISTRATION, MANAGEMENT, AND OVERSIGHT OF FEDERAL, STATE, AND LOCAL FUNDED PROGRAMS. |

| | | |
|---|------------------|----------------------------------------------------------------------------------------------------------------------------------|
| 6 | GOAL NAME | ADMINISTRATION, PLANNING AND MANAGEMENT |
| | GOAL DESCRIPTION | THERE IS A CONTINUING NEED FOR PLANNING, ADMINISTRATION, MANAGEMENT, AND OVERSIGHT OF FEDERAL, STATE, AND LOCAL FUNDED PROGRAMS. |

ESTIMATE THE NUMBER OF EXTREMELY LOW-INCOME, LOW-INCOME, AND MODERATE-INCOME FAMILIES TO WHOM THE JURISDICTION WILL PROVIDE AFFORDABLE HOUSING AS DEFINED BY HOME 91.315(b)(2)

BASED ON THE NUMERIC GOALS ENTERED FOR THE HOUSING AND HOMELESSNESS GOALS ABOVE, A TOTAL OF APPROXIMATELY 1,320 EXTREMELY LOW-INCOME, LOW-INCOME AND MODERATE-INCOME FAMILIES WILL BE ASSISTED WITH SOME FORM OF AFFORDABLE HOUSING (INCLUDING OVERNIGHT HOMELESS SHELTER, SHELTER BEDS AND HOUSING FOR THE HOMELESS) OVER THE SPAN OF THE CITY OF UTICA'S 2020 - 2024 CONSOLIDATED PLAN.

SP-50 PUBLIC HOUSING ACCESSIBILITY AND INVOLVEMENT – 91.215(c)
NEED TO INCREASE THE NUMBER OF ACCESSIBLE UNITS (IF REQUIRED BY A SECTION 504 VOLUNTARY COMPLIANCE AGREEMENT)

NOT APPLICABLE

ACTIVITIES TO INCREASE RESIDENT INVOLVEMENTS

THE UTICA MUNICIPAL HOUSING AUTHORITY’S FIVE YEAR AGENCY PLAN FOR FISCAL YEARS 2020-2025, THE UMHA LISTS THE PROMOTION OF SELF-SUFFICIENCY AND ASSET DEVELOPMENT OF ITS FAMILIES AND INDIVIDUALS AS ONE OF ITS HUD STRATEGIC GOALS. LISTED AS OBJECTIVES IN REACHING THAT GOAL ARE THE FOLLOWING:

1. INCREASE THE NUMBER OF EMPLOYED PERSONS IN ASSISTED FAMILIES AND EXPAND ACCESS OF RESIDENTS TO EDUCATION AND JOB TRAINING PROGRAMS.

1. PROVIDE OR IDENTIFY SUPPORTIVE SERVICES TO IMPROVE RESIDENTS’ EMPLOYABILITY; SEEK NEW PARTNERSHIPS WITH BOTH PUBLIC AND PRIVATE ENTITIES TO ENHANCE SOCIAL AND ECONOMIC SERVICES TO RESIDENTS IN ASSISTED HOUSING; DEVELOP ON-SITE EDUCATIONAL, JOB TRAINING, CAREER DEVELOPMENT, AND LITERACY PROGRAMS FOR PUBLIC HOUSING RESIDENTS; CONTINUE TO IMPLEMENT COMMUNITY SERVICE REQUIREMENTS FOR REMAINING PUBLIC HOUSING UNITS TO FACILITATE RESIDENT INVOLVEMENT IN JOB TRAINING AND EDUCATIONAL PROGRAMS;
2. PROVIDE ENTREPRENEURSHIP AND SMALL BUSINESS DEVELOPMENT TRAINING PROGRAMS FOR RESIDENTS; IMPLEMENT THE AMERICORPS PROGRAM TO PROVIDE HOUSING INFORMATION AND REFERRAL ASSISTANCE, EMPLOYMENT READINESS TRAINING, VETERAN AND FINANCIAL TRAINING INSTRUCTION;
3. IMPLEMENT SERVICE COORDINATOR GRANTS THROUGH THE UMHA RESIDENT ASSOCIATIONS OR THROUGH THE HOUSING AUTHORITY;
4. APPLY FOR NEW FUNDING STREAMS;
5. OPERATE WORKFORCE DEVELOPMENT PROGRAMS SUCH AS THE SUMMER YOUTH EMPLOYMENT, FRESH START, GARDEN, COMMUNITY GARDEN, AND PAINT YOUR WAY TO SUCCESS PROGRAMS.

2. IDENTIFY SUPPORTIVE SERVICES TO INCREASE INDEPENDENCE FOR THE ELDERLY OR FAMILIES WITH DISABILITIES.

1. CONTINUE TO PROVIDE SERVICE COORDINATION TO ELDERLY AND DISABLED HOUSEHOLDS;
2. IMPLEMENT HEALTH EDUCATION PROGRAMS TARGETED TO SENIORS, CHILDREN, AND DISABLED;

3. MAINTAIN AND EXPAND HOUSING AUTHORITY RESIDENT SERVICE PROGRAMS

1. CONTINUE TO IMPLEMENT YOUTH DEVELOPMENT, AFTER-SCHOOL, AND SUMMER YOUTH DEVELOPMENT AND ENRICHMENT PROGRAMS;
2. MAINTAIN THE OPERATION OF THE NEIGHBORHOOD NETWORK CENTERS (COMMUNITY CENTERS);
3. INCORPORATE SUPPORTIVE SERVICES INTO PROPERTY MANAGEMENT FUNCTIONS; CONDUCT RESIDENT ORIENTATION AND TRAINING SESSIONS ON HOUSEKEEPING AND SUPPORT SERVICES LINKAGES; CONTINUE TO BUILD

PARTNERSHIPS WITH LOCAL SOCIAL SERVICE AGENCIES SUCH AS THE ONEIDA COUNTY DEPARTMENT OF SOCIAL SERVICES TO COORDINATE SERVICES;SEEK FUNDING FROM PUBLIC AND PRIVATE SOURCES TO MAINTAIN AND ENHANCE RESIDENT SERVICE PROGRAMS;CONTINUE TO DEVELOP AND MAINTAIN RESIDENT ASSOCIATIONS AND LEADERSHIP DEVELOPMENT TRAINING PROGRAMS;CONTINUE AND EXPAND THE COMMUNITY GARDEN PROGRAM TO ASSIST RESIDENTS TO ACCESS LOW COST NUTRITIOUS FOOD AS WELL AS FOSTER COMMUNITY IDENTITY AND SPIRIT;

IS THE PUBLIC HOUSING AGENCY DESIGNATED AS TROUBLED UNDER 24 CFR PART 902?

No

PLAN TO REMOVE THE 'TROUBLED' DESIGNATION

NOT APPLICABLE

SP-55 BARRIERS TO AFFORDABLE HOUSING – 91.215(H)

BARRIERS TO AFFORDABLE HOUSING

AVAILABILITY OF AFFORDABLE AND SUITABLE HOUSING

THERE ARE MORE THAN 200 FAMILIES ON THE WAITING LIST FOR SECTION 8 HOUSING IN UTICA. THESE FAMILIES ARE FORCED TO RENT SUBSTANDARD HOUSING WHILE WAITING FOR ASSISTANCE. ADDITIONALLY, THERE ARE 5,830 HOUSEHOLDS DESCRIBED AS EARNING LESS THAN 30% AMI BUT ONLY APPROXIMATELY 2,000 UNITS THAT ARE AFFORDABLE FOR SUCH EXTREMELY LOW INCOME POPULATIONS.

GENTRIFICATION

THE CITY EXPECTS THAT THE ANTICIPATED DEMANDS FOR URBAN LIVING SPACES ASSOCIATED WITH THE NANO UTICA PROJECT WILL RAISE HOUSING COSTS AND REDUCE THE AVAILABILITY OF RENTAL HOUSING IN DOWNTOWN UTICA. THE “LOFT” APARTMENT TRENDS MAY NEGATIVELY AFFECT MINORITIES, REFUGEES AND IMMIGRANT POPULATIONS SENIORS, PERSONS WITH DISABILITIES, AND SINGLE PARENT HOUSEHOLDS WHO CURRENTLY RESIDE IN THE CENTER CITY TO BE CLOSE TO SERVICES AND TRANSPORTATION.

STRATEGY TO REMOVE OR AMELIORATE THE BARRIERS TO AFFORDABLE HOUSING

THE CITIES OF UTICA AND ROME HAVE PARTNERED WITH WESTERN ECONOMIC SERVICES, LLC OF PORTLAND, OR TO CONDUCT AN ANALYSIS OF IMPEDIMENTS TO FAIR HOUSING CHOICE IN THE CITIES OF UTICA AND ROME IN 2020. WES WAS THE FIRM SELECTED TO CONDUCT THE ANALYSIS IN 2008. WHILE THE STUDY IS EXPECTED TO CONCLUDE IN OR ABOUT MAY 2020, THE CITY OF UTICA DOES HAVE PRECEDENTED STRATEGIES TO WORK FROM AND ANTICIPATES THE NEWEST REPORT WILL HAVE SIMILAR RECOMMENDATIONS:

- IDENTIFY AND PROMOTE STATE AND FEDERAL ASSISTANCE FOR AFFORDABLE HOUSING;
- MAKE CHANGES TO ITS ZONING AND BUILDING CODE TO PROMOTE THE CREATION OF NEW AFFORDABLE HOUSING UNITS IN VACANT UPPER FLOOR SPACES;
 - HELP DEVELOPERS IDENTIFY SITES FOR DEVELOPMENT OF AFFORDABLE HOUSING;
- DEVELOP INCENTIVE AND TECHNICAL ASSISTANCE PROGRAMS TO ASSIST DEVELOPERS TO REHABILITATE RENTAL HOUSING FOR MIXED USE;
 - UTILIZE HOME FUNDING TO PROVIDE ENERGY IMPROVEMENTS TO RENTAL HOUSING;
- PROVIDE WORKSHOPS, HOUSING FAIRS, SEMINARS AND PAPER AND ELECTRONIC LITERATURE IN MULTIPLE LANGUAGES.

SP-60 HOMELESSNESS STRATEGY – 91.215(D)

REACHING OUT TO HOMELESS PERSONS (ESPECIALLY UNSHELTERED PERSONS) AND ASSESSING THEIR INDIVIDUAL NEEDS

THE UTICA/ROME/ONEIDA COUNTY CoC STEERING COMMITTEE (WHICH INCLUDES THE CITY OF UTICA) MADE THE FUNDING PRIORITY AND FUNDING ALLOCATION DECISIONS FOR ESG SPENDING IN THE 2020-2021 PROGRAM YEAR. THE COMMITTEE IS MADE UP OF THE ESG COORDINATOR FOR THE CITY OF UTICA (MICHAEL PEEK - HOUSING DEVELOPMENT SPECIALIST), THE CHAIR OF THE CONTINUUM OF CARE AND MOHAWK VALLEY HOUSING AND HOMELESS COALITION (STEVE DARMAN), AND MEMBERS OF THE CoC WHO ARE NOT CURRENTLY RECEIVING FUNDING BUT ARE FAMILIAR WITH THE NEEDS OF THOSE THE PROGRAM SERVICES (ROBIN ROBINSON OF UNITED WAY AND MARY KERNAN OF NYS DEPT OF FAMILY ASSISTANCE).

ADDRESSING THE EMERGENCY AND TRANSITIONAL HOUSING NEEDS OF HOMELESS PERSONS

THE PROGRAMS/ACTIVITIES TO BE FUNDED WITH THE CITY'S ESG ENTITLEMENT INCLUDE:

YWCA (\$40,000) TO OPERATE THE HALL HOUSE SHELTER FOR FEMALE VICTIMS OF DOMESTIC VIOLENCE AND THEIR CHILDREN.

JOHNSON PARK CENTER (\$33,500) TO CONTINUE FUNDING FOR THE EMERGENCY/TRANSITIONAL HOUSING PROGRAM FOR FEMALES WHO MAY HAVE BEEN EX-OFFENDERS OR SUBSTANCE ABUSERS AND THE CHRONICALLY HOMELESS.

RESCUE MISSION OF UTICA (\$15,000) TO OPERATE A MEN'S SHELTER.

ICAN (\$34,727) FOR THEIR EVELYN'S HOUSE TO EXPAND OPERATIONS OF THEIR 7-BED SHELTER FOR PREGNANT AND PARENTING TEENAGE MOTHERS WITH A RAPID REHOUSING COMPONENT (THIS GRANT INCLUDES \$31,730 OF FY2015 FUNDS THAT HAVE BEEN RE-ALLOCATED). THIS COMPONENT OF THE CITY OF UTICA'S EMERGENCY SOLUTIONS GRANT COMPLIES WITH THE MINIMUM 40% RAPID-REHOUSING REQUIREMENT.

UTICA MUNICIPAL HOUSING AUTHORITY (\$64,832) TO OPERATE THE RAPID-REHOUSING AND (\$21,240) TO OPERATE THE HOMELESS OUTREACH SERVICES PORTION OF THE PROGRAM. THIS COMPONENT OF THE CITY OF UTICA'S EMERGENCY SOLUTIONS GRANT COMPLIES WITH THE MINIMUM 40% RAPID-REHOUSING REQUIREMENT.

UTICA CENTER FOR DEVELOPMENT (\$8,000) TO OPERATE THEIR RAPID RE-HOUSING PROGRAM AND (\$4,000) TO OPERATE THEIR HOMELESS PREVENTION SERVICES PORTION OF THE PROGRAM. THIS COMPONENT OF THE CITY OF UTICA'S EMERGENCY SOLUTIONS GRANT COMPLIES WITH THE MINIMUM 40% RAPID-REHOUSING REQUIREMENT.

HELPING HOMELESS PERSONS (ESPECIALLY CHRONICALLY HOMELESS INDIVIDUALS AND FAMILIES, FAMILIES WITH CHILDREN, VETERANS AND THEIR FAMILIES, AND UNACCOMPANIED YOUTH) MAKE THE TRANSITION TO PERMANENT HOUSING AND INDEPENDENT LIVING, INCLUDING SHORTENING THE PERIOD OF TIME THAT INDIVIDUALS AND FAMILIES EXPERIENCE HOMELESSNESS, FACILITATING ACCESS FOR HOMELESS INDIVIDUALS AND FAMILIES TO AFFORDABLE HOUSING UNITS, AND PREVENTING INDIVIDUALS AND FAMILIES WHO WERE RECENTLY HOMELESS FROM BECOMING HOMELESS AGAIN.

THE PROGRAMS FUNDED BY THE CITY OF UTICA HAVE A COMPONENT WHICH IS DESIGNED TO REDUCE THE CHANCES OF THOSE SERVED BECOMING HOMELESS AGAIN. IN EVELYN'S HOUSE FOR YOUNG MOTHERS AND BABIES, THE WOMEN ARE TAUGHT BASIC SKILLS OF CREATING SHOPPING LISTS, CLIPPING COUPONS AND PREPARING DINNER SCHEDULES FOR THE

HOUSE. EACH RESIDENT IS ASSIGNED A NIGHT TO PREPARE A MEAL. IN ADDITION THEY LEARN HOW TO SET UP A NORMAL ROUTINE FOR THEIR BABIES IN TERMS OF SLEEPING AND FEEDING. JOHNSON PARK CENTER WILL ASSESS THE WOMEN AT INTAKE AND ADDRESS MANY OF THE MAIN PROBLEMS THEY COME IN WITH FROM DRUG ADDICTION TO SELF-CONFIDENCE.

HELP LOW-INCOME INDIVIDUALS AND FAMILIES AVOID BECOMING HOMELESS, ESPECIALLY EXTREMELY LOW-INCOME INDIVIDUALS AND FAMILIES WHO ARE LIKELY TO BECOME HOMELESS AFTER BEING DISCHARGED FROM A PUBLICLY FUNDED INSTITUTION OR SYSTEM OF CARE, OR WHO ARE RECEIVING ASSISTANCE FROM PUBLIC AND PRIVATE AGENCIES THAT ADDRESS HOUSING, HEALTH, SOCIAL SERVICES, EMPLOYMENT, EDUCATION OR YOUTH NEEDS

EMPLOYMENT OF HOMELESS PERSONS:

WE ARE EXCEEDING HUD TARGETS FOR THE EMPLOYMENT OF HOMELESS PERSONS EXITING SUPPORTIVE HOUSING PROGRAMS IN OUR CoC. WE HAVE ACCOMPLISHED THIS BY STRENGTHENING EXISTING PROGRAMS DESIGNED TO SUPPORT HOMELESS INDIVIDUALS AS THEY SEEK EMPLOYMENT, AND BY AGGRESSIVELY PURSUING AND OBTAINING GRANT FUNDING FROM THE U.S. DEPARTMENT OF LABOR TO SERVE EX-OFFENDERS WHO ARE UNEMPLOYED (EX-OFFENDERS ARE A SIGNIFICANT PORTION OF OUR HOMELESS POPULATION).

YOUTH SUPPORTIVE HOUSING:

YOUTH AGE 16-21 ARE A SIGNIFICANT PORTION OF OUR LOCAL HOMELESS POPULATION AND ARE A PARTICULAR CHALLENGE TO LOCATE AND SERVE BECAUSE THEY OFTEN MAKE EFFORTS TO AVOID LOCAL SERVICE PROVIDERS, EVEN WHEN HOMELESS.

FOR GIRLS, WE HAVE THE FIRST SUPPORTIVE HOUSING PROGRAM (EVELYN'S HOUSE) FOR HOMELESS PREGNANT AND PARENTING TEENS IN UTICA, AND THE PROGRAM WILL BE EXPANDED IN 2020. FOR BOYS, GRADY'S WAY, A SHELTER FOR BOYS AND YOUNG MEN OPENED AND WILL BEGIN PROVIDING SERVICES.

HOMELESS VETERANS:

THE UTICA CENTER FOR DEVELOPMENT SPECIALIZES IN VETERANS' AFFAIRS, AND TARGETS ITS HOMELESS ASSISTANCE EFFORTS TOWARD VETERANS. THESE PARTICIPANTS MAY LIKELY EXPERIENCE BEHAVIORAL HEALTH ISSUES RELATED TO HOMELESSNESS AND THAT COULD RESULT IN CONTINUED BOUTS OF HOMELESSNESS WITHOUT PROPER PROGRAMMING.

CHRONICALLY HOMELESS PERSONS WITH A SERIOUS MENTAL HEALTH DISABILITY:

THE NEED FOR SUPPORTIVE HOUSING FOR CHRONICALLY HOMELESS PERSONS WITH A SERIOUS MENTAL HEALTH DISABILITY IS AN ACTIVE ANNUAL GOAL IN OUR CoC. UNMET HOUSING NEEDS FOR THIS POPULATION HAVE GROWN DRAMATICALLY IN AS OUR STOCK OF AFFORDABLE SRO HOUSING HAS DECLINED IN THE COMMUNITY.

PRISONER REENTRY:

IN 2006 OUR CoC IMPLEMENTED THE ONEIDA COUNTY PRISONER REENTRY TASK FORCE WITH THE SUPPORT OF THE NYS DEPARTMENT OF CRIMINAL JUSTICE SERVICES. THE TASK FORCE WAS REFUNDED IN 2007. THE REENTRY TASK FORCE COORDINATOR WORKS CLOSELY WITH OUR LOCAL PAROLE OFFICE, THE ONEIDA COUNTY DEPARTMENT OF SOCIAL SERVICES, AND THE DA'S OFFICE ALONG WITH A NUMBER OF AREA PROVIDERS TO ENSURE THAT THOSE RETURNING FROM PRISON ARE LESS LIKELY TO RE-OFFEND AND RETURN TO PRISON BECAUSE THEY HAVE HOUSING AND THE SUPPORT AND GUIDANCE THEY NEED TO QUICKLY OBTAIN EMPLOYMENT AND, IF NECESSARY, MENTAL HEALTH OR SUBSTANCE ABUSE TREATMENT. AN APPLICANT FOR ESG FUNDS IN THE 2020-2021 PROGRAM YEAR, WHILE NOT AWARDED FUNDS DUE TO NOT HAVING COMPLETED ALL STEPS TOWARD STATE CERTIFICATION, WISHES TO OPEN A SHELTER TARGETED TOWARD REINTEGRATING FORMER INMATES INTO SOCIETY WITH SHELTER BEDS AND PROGRAMMING MEANT TO REDUCE THE LIKELIHOOD OF HOMELESSNESS. IT IS HIGHLY LIKELY THAT THE PROGRAM WILL BE AWARDED ESG FUNDING IN THE 2021-2022 PROGRAM YEAR SHOULD THE ORGANIZATION MEET ITS CERTIFICATION REQUIREMENTS.

SP-65 LEAD BASED PAINT HAZARDS – 91.215(i)

ACTIONS TO ADDRESS LBP HAZARDS AND INCREASE ACCESS TO HOUSING WITHOUT LBP HAZARDS

IN 2019, THE CITY OF UTICA WAS AWARDED A \$3.5 MILLION GRANT FROM HUD FOR THE PURPOSE OF REDUCING LEAD PAINT HAZARDS IN HOMES WHERE CHILDREN UNDER 6 SPEND A SIGNIFICANT AMOUNT OF TIME. THE GRANT WILL REHABILITATE 180 HOUSING UNITS OVER 3.5 YEARS IN PARTNERSHIP WITH THE COMMUNITY FOUNDATION OF ONEIDA AND HERKIMER COUNTIES, ONEIDA COUNTY DEPT OF HEALTH, UNHS HOMEOWNERSHIP CENTER, MOHAWK VALLEY COMMUNITY ACTION, THE GREEN AND HEALTHY HOMES INITIATIVE OF BALTIMORE, MD, AND OTHER COMMUNITY HEALTH AGENCIES. MEETINGS OCCUR BIWEEKLY TO TRACK PROGRESS AND ESTABLISH PROCEDURE.

THE ONEIDA COUNTY HEALTH DEPARTMENT WORKS TO ELIMINATE CHILDHOOD LEAD POISONING IN PORTIONS OF ONEIDA COUNTY LIKE UTICA THAT ARE DESIGNATED AS “HIGH RISK” AREAS FOR LEAD POISONING. THEY FOCUS ON COMMUNITY EDUCATION, INCLUDING HOME VISITATIONS, RISK ASSESSMENT OF LEAD HAZARDS, DUST SAMPLING AND CLEARANCE, REHABILITATION INCENTIVES AND TRAINING, AND OTHER RESEARCHED INNOVATIVE MEASURES THAT ALIGN WITH HEALTHY HOUSING PRINCIPLES, INCLUDING THE FOLLOWING GOALS/TASKS FOR 2020 AND BEYOND:

- DELIVER PRESENTATIONS TO LOCAL AGENCIES, ORGANIZATIONS AND FAITH-BASED GROUPS – SCHEDULE OWNER AND TENANT SEMINARS, COMMUNITY PRESENTATIONS, NURSING AND MEDICAL RESIDENT TRAININGS, HEALTH FAIRS, AND DAYCARE PROVIDER LEAD PREVENTION EDUCATION AND TRAINING.
 - PROMOTE A HEALTHY HOUSING REHABILITATION CAMPAIGN WITH INITIATIVES THAT SUPPORT THE SEVEN AREAS OF A HEALTHY HOME - KEEPING HOMES DRY, CLEAN, SAFE, WELL-VENTILATED, PEST-FREE, CONTAMINANT FREE, AND WELL-MAINTAINED. PROVIDE CREATIVE WEB AND PHONE-BASED INCENTIVES TO ATTRACT TARGET POPULATIONS TO EDUCATIONAL EVENTS AND MODULES INCLUDING REMINDERS OF FREE AND “TEMPORARY” MEASURES TO REDUCE A CHILD’S ACCESS TO LEAD HAZARDS. UTILIZE NEW TECHNOLOGY TO ENABLE EDUCATORS TO QUICKLY AND EASILY DEMONSTRATE THE PRESENCE OF LEAD THAT IS PRESENT IN A MYRIAD OF SURFACES AND LOCATIONS COMPLETE HOUSING INSPECTIONS (WITH A FOCUS ON NEWBORN TO AGE 3) HOUSING UNITS, INCLUDING: VISUAL INSPECTIONS DUST WIPE SAMPLINGS DIGITAL PHOTOGRAPHS TWO LEAD HAZARD REDUCTION EDUCATION VISITS FOR OWNER OR TENANTS FREE CLEANING SUPPLIES ISSUANCE OF LEGAL NOTICES TO OWNERS TO MAKE REPAIRS FREE TRAINING FOR EPA 8 HR. RRP CLASS FREE PAINT STABILIZATION VOUCHER FOR PAINT WINDOW REPLACEMENT CLASSES FOR TENANTS/OWNERS FREE VISUAL AND DUST WIPE CLEARANCE TESTING
 - COORDINATE WITH MUNICIPALITIES AS THEY REVISE ZONING CODES TO ASSIST WITH ENFORCEMENT AND THE DEVELOPMENT OF INCENTIVE PROGRAMS FOR APPROPRIATE AND HEALTHY REHABILITATION.
 - COORDINATE A PROCESS WITH MUNICIPALITIES TO COMPLETE CODE INSPECTIONS AND CCE WILL PROVIDE FOLLOW-UP, HEARINGS, OFFICE CONFERENCES, AND THE SAME SERVICES AS ABOVE.
 - CONTINUE TO IMPLEMENT A HEPA VACUUM LOANER PROGRAM - FREE USE OF HEPA VACUUMS (CURRENTLY AVAILABLE AT A VARIETY OF SITES AROUND THE COUNTY).
 - DETERMINE THE NEED AND AVAILABILITY OF LEAD PREVENTION TRAINING PROGRAMS IN TARGET NEIGHBORHOODS.
 - PROVIDE LEAD SAFE JOB TRAINING PROGRAMS FOR UNDEREMPLOYED AND UNEMPLOYED PERSONS IN THE TARGET AREAS.
 - PROVIDE LEAD STAFF WORKSHOPS - CORNELL UNIVERSITY SCHOOL OF INDUSTRIAL AND LABOR RELATIONS WILL ASSIST TO PROVIDE NEW OPPORTUNITIES FOR CONSISTENTLY UPDATED LEAD PREVENTION TRAINING FOR PROGRAM STAFF.
- OVER THE COURSE OF THE NEXT FIVE YEARS, THE CITY OF UTICA WILL CONTINUE TO PARTNER WITH THE ONEIDA COUNTY HEALTH DEPARTMENT AND THE LEAD-FREE MOHAWK VALLEY COMMITTEE TO ENSURE THAT AVAILABLE PROGRAMS AND INITIATIVES ARE WELL PUBLICIZED TO CITY RESIDENTS TO ENSURE FULL UTILIZATION OF THEIR SERVICES.

HOW ARE THE ACTIONS LISTED ABOVE RELATED TO THE EXTENT OF LEAD POISONING AND HAZARDS?

AS NOTED ABOVE, THE ONEIDA COUNTY HEALTH DEPARTMENT’S APPROACH IS MULTI-PRONGED. THEIR APPROACH BEGINS WITH TRYING TO EDUCATE CITY RESIDENTS TO THE PROBLEM AND THE NUMEROUS PROBLEMS THAT RESULT IF THE PROBLEM OF LEAD-BASED PAINT IS NOT ADDRESSED. THEIR APPROACH THEN INCLUDES MEASURES INTENDED TO QUANTIFY THE PROBLEM BY UTILIZING TESTING, SAMPLING AND RISK ASSESSMENTS. FINALLY, THEIR MEASURES EXTEND TO SOLVING THE PROBLEMS THROUGH ENABLING HOMEOWNERS AND CONTRACTORS TO KNOWLEDGEABLY REHABILITATE UNSAFE HOMES.

HOW ARE THE ACTIONS LISTED ABOVE INTEGRATED INTO HOUSING POLICIES AND PROCEDURES?

UED STAFF WILL WORK WITH VARIOUS HOUSING AGENCIES AND HOUSING COUNSELING ORGANIZATION, INCLUDING THE UTICA MUNICIPAL HOUSING AUTHORITY, THE HOMEOWNERSHIP CENTER, THE CITY’S SECTION 8 STAFF PRIMARILY AND OTHERS, TO ENSURE THAT ALL SUCH AGENCIES AND ORGANIZATIONS ARE AWARE OF THE PROGRAMS AND SERVICES THAT ARE AVAILABLE THROUGH THE ONEIDA COUNTY HEALTH DEPARTMENT TO ADDRESS THE ISSUE OF LEAD-BASED PAINT.

SP-70 ANTI-POVERTY STRATEGY – 91.215(J)

JURISDICTION GOALS, PROGRAMS AND POLICIES FOR REDUCING THE NUMBER OF POVERTY-LEVEL FAMILIES

GOAL #1 – FACILITATE EMPLOYMENT: PROVIDE TRAINING OPPORTUNITIES, FINANCIAL ASSISTANCE, AND THE SUPPORT NETWORK REQUIRED TO RAISE THE LEVEL OF EARNING AND EMPLOYMENT - FOR INDIVIDUALS, FAMILIES AND NEW ENTREPRENEURS – LEADING TO SELF-SUFFICIENCY.

SUBGOALS

1. “COMMUNITY EMPLOYMENT SERVICES” PROGRAM
2. PROVIDE FINANCIAL AND TECHNICAL ASSISTANCE FOR CAREER DEVELOPMENT OPPORTUNITIES
3. DEVELOP INCUBATORS AND SUPPORT SOCIAL ENTERPRISE DEVELOPMENT

GOAL #2 – INCREASE ECONOMIC ACTIVITY: UPGRADE AGING INFRASTRUCTURE, FILL VACANCIES, PROVIDE INCENTIVES FOR THE ADAPTIVE REUSE OF BUILDINGS, AND ENHANCE AND PROMOTE QUALITY OF LIFE AMENITIES ACROSS ALL DEMOGRAPHICS AND NEIGHBORHOODS.

SUBGOALS

1. DEVELOP A COMPREHENSIVE BRAND FOR THE TARGET AREA’S COMMERCIAL DISTRICTS
2. UPGRADE ROAD, WATER, SEWER, TECHNOLOGY, BROADBAND, AND GREEN AND ARCHITECTURAL INFRASTRUCTURE
3. ORGANIZE COMMERCIAL DISTRICT NEIGHBORHOOD ASSOCIATIONS

GOAL #3 – IMPROVE EDUCATIONAL OPPORTUNITIES: IMPROVE LITERACY RATES, SUPPORT AFTERSCHOOL PROGRAMS, INCREASE THE NUMBER OF ADULTS WITH COLLEGE DEGREES, AND PROVIDE WORKFORCE TRAINING AND CERTIFICATE PROGRAMS FOR SKILLED TRADES AND PROFESSIONALS - WITH A FOCUS ON EMERGING CAREER FIELDS.

SUBGOALS

1. DEVELOP PROGRAMS AIMED AT RAISING THE LITERACY RATE
2. INCREASE THE PERCENTAGE OF ADULTS WITH BACHELOR’S DEGREES TO 25%
3. EXPAND WORKFORCE TRAINING FOR SKILLED TRADES AND PROFESSIONALS

GOAL #4 – ENHANCE PUBLIC SAFETY: ADDRESS COMMUNITY PERCEPTIONS REGARDING PUBLIC SAFETY THROUGH COMMUNITY POLICING AND NEIGHBORHOOD-BASED RENEWAL STRATEGIES, ENVIRONMENTAL DESIGN AND SAFETY INFRASTRUCTURE.

SUBGOALS

1. INCORPORATE COMMUNITY POLICING OBJECTIVES IN COMPREHENSIVE NEIGHBORHOOD PLANNING
2. USE INNOVATIVE ENVIRONMENTAL DESIGN STRATEGIES IN NEIGHBORHOOD STREETScape PLANS
3. PROVIDE MEASURES TO ENHANCE INCLUSIVE REPRESENTATION IN NEIGHBORHOOD MEETINGS, HIRING PRACTICES AND DECISION-MAKING

GOAL #5 – IMPROVE HEALTH AND WELLNESS: RE-ASSESS BEHAVIORAL HEALTH AND ADDICTION PROGRAMS AND SERVICES, IMPROVE HEALTHY FOOD ACCESS THROUGH COMMUNITY GARDENS AND INNOVATIVE ENVIRONMENTAL DESIGN, AND PROMOTE WALKABILITY AND HEALTHY LIFESTYLES.

SUBGOALS

1. PROVIDE ENHANCED SUPPORT SERVICES FOR PERSONS FACING ADDICTION AND BEHAVIORAL HEALTH ISSUES.
2. IMPROVE ACCESS TO HEALTHY FOOD AND ELIMINATE FOOD DESERTS
3. EVALUATE AND ENHANCE NEIGHBORHOOD WALKABILITY AND CONNECTIVITY

GOAL #6 – PROVIDE HEALTHY HOUSING: PROVIDE HEALTHY HOUSING WITHOUT LEAD, ASBESTOS, MOLD AND PESTS; RENOVATE AGING HOUSING STOCK AND BUILD NEW QUALITY AFFORDABLE HOUSING UNITS; AND PROVIDE LIVE/WORK, LOFT AND RENTAL HOUSING TO MEET THE NEEDS OF UTICA’S CHANGING DEMOGRAPHICS.

SUBGOALS

1. WORK WITH PRIVATE HOUSING DEVELOPERS AND PUBLIC AGENCIES TO PROVIDE SAFE HOUSING USING TRAINING AND TECHNICAL ASSISTANCE
2. REHABILITATE OR BUILD NEW UNITS OF QUALITY, AFFORDABLE HOUSING IN TARGET NEIGHBORHOODS.
3. COMPLETE A DOWNTOWN HOUSING INVENTORY AND PROVIDE FINANCIAL AND TECHNICAL ASSISTANCE TO MEET THE URBAN LIVING NEEDS OF ANY PERSON.

HOW ARE THE JURISDICTION POVERTY REDUCING GOALS, PROGRAMS, AND POLICIES COORDINATED WITH THIS AFFORDABLE HOUSING PLAN

GOAL 6 OF THE POVERTY REDUCING GOALS ALIGN WITH THE AFFORDABLE HOUSING PLAN BY FOCUSING ON THE REHABILITATION AND CONSTRUCTION OF HOUSING UNITS THAT ARE SAFE AND AFFORDABLE WITHIN THE TARGET NEIGHBORHOODS. ADDITIONALLY, A NUMBER OF THE GOALS FOCUS ON IMPROVING INFRASTRUCTURE, TRANSPORTATION, CONNECTIVITY AND SAFETY WITHIN THE TARGET AREA, ALL WHICH AID IN THE PROMOTION AND MARKETING OF THE AFFORDABLE HOUSING TO BE DEVELOPED THROUGH THE AFFORDABLE HOUSING PLAN.

SP-80 MONITORING – 91.230

DESCRIBE THE STANDARDS AND PROCEDURES THAT THE JURISDICTION WILL USE TO MONITOR ACTIVITIES CARRIED OUT IN FURTHERANCE OF THE PLAN AND WILL USE TO ENSURE LONG-TERM COMPLIANCE WITH REQUIREMENTS OF THE PROGRAMS INVOLVED, INCLUDING MINORITY BUSINESS OUTREACH AND THE COMPREHENSIVE PLANNING REQUIREMENTS

THE STAFF OF THE CITY OF UTICA'S DEPARTMENT OF URBAN & ECONOMIC DEVELOPMENT WILL BE RESPONSIBLE FOR THE MONITORING OF THE VARIOUS OUTSIDE AGENCIES AND ORGANIZATIONS THAT RECEIVE ENTITLEMENT FUNDING THROUGH CDBG, HOME AND/OR ESG MONIES DURING THE 2020-2021 PROGRAM YEAR. THE PRIMARY PURPOSE OF THE CITY'S MONITORING PROGRAM WILL BE TO ENSURE THAT ALL SUBRECIPIENTS PROGRESS THEIR RESPECTIVE PROJECTS IN FURTHERANCE OF THE 2020-2021 ANNUAL ACTION PLAN IN COMPLIANCE WITH ALL APPLICABLE FEDERAL AND LOCAL REGULATIONS.

AS A RESULT OF RECEIVING FEDERAL ENTITLEMENT FUNDS THROUGH THE CITY OF UTICA, ALL SUBRECIPIENTS ARE REQUIRED TO ENTER INTO SUBRECIPIENT AGREEMENTS BETWEEN THE AGENCY/ORGANIZATION AND THE CITY OF UTICA. THESE SUBRECIPIENT AGREEMENTS SPELL OUT THE VARIOUS REPORTING RESPONSIBILITIES WITH WHICH THE SUBRECIPIENT MUST COMPLY AND REITERATES THE RIGHT OF THE CITY OF UTICA TO PERFORM MONITORING OF THE SUBRECIPIENT.

SUBRECIPIENTS ARE REQUIRED TO SUBMIT QUARTERLY PROGRESS REPORTS AS WELL AS A FINAL YEAR-END PROGRESS REPORT SUMMARIZING THEIR PROGRESS TOWARD ACCOMPLISHING THEIR GOALS. THESE REPORTS REQUIRE EACH SUBRECIPIENT TO PROVIDE RAW NUMBERS IN TERMS OF NUMBERS SERVED, BUT ALSO REQUIRE THAT EACH SUBRECIPIENT DETAIL THEIR PROGRESS TOWARD FULFILLING THE RESPECTIVE OUTCOME MEASURE, DEPENDING ON THE ACTIVITY UNDERTAKEN OR SERVICE PROVIDED. IN ADDITION TO PROVIDING CRITICAL ACTIVITY-LEVEL DATA TO DEPARTMENT STAFF, THE REPORTS WILL BE HELPFUL IN THE PREPARATION OF THE CONSOLIDATED ANNUAL PERFORMANCE EVALUATION REPORT (CAPER).

IN ADDITION TO THESE PROGRESS REPORTS, DEPARTMENT STAFF WILL EMPLOY A RANDOM ON-SITE INSPECTION OF SUBRECIPIENTS DURING THE 2020-2021 PROGRAM YEAR. MONITORING REVIEWS MAY TAKE THE FORM OF ON-SITE VISITS OR DESK REVIEWS.

THE CITY OF UTICA'S MONITORING STRATEGY IS A MANAGEMENT CONTROL TECHNIQUE FOR ONGOING ASSESSMENT OF THE QUALITY OF GRANTEE PERFORMANCE OVER A PERIOD OF TIME. MONITORING PROVIDES INFORMATION ABOUT A GRANTEE'S PROGRAM EFFECTIVENESS AND MANAGEMENT EFFICIENCY. THE CITY STRIVES TO WORK IN PARTNERSHIP WITH ITS SUBRECIPIENTS TO ENSURE SUCCESSFUL PROGRAM IMPLEMENTATION. MONITORING VISITS ALSO ALLOW STAFF TO PROVIDE ON-SITE ASSISTANCE TO SUBRECIPIENTS CARRYING OUT THEIR PROGRAM RESPONSIBILITIES.

ADDITIONALLY, MONITORING IS USED AS AN OPPORTUNITY TO IDENTIFY PROGRAM PARTICIPANT ACCOMPLISHMENTS, ACKNOWLEDGE SUCCESSFUL MANAGEMENT, AND RECOGNIZE IMPLEMENTATION TECHNIQUES THAT MIGHT BE REPLICATED BY OTHER GRANTEES.

WHILE SOME COMMUNITIES EMPLOY A RANDOM SAMPLING OF SUBRECIPIENTS ANNUALLY, MONITORING VISITS ARE MADE TO EVERY HOME, CDBG AND ESG SUBRECIPIENT EACH ENTITLEMENT YEAR; THE SAME PLAN IS IN PLACE FOR THE 2020-2021 PROGRAM YEAR. UTILIZING CHECKLISTS DEVELOPED FOR EACH ACTIVITY/PROJECT, DEPARTMENT STAFF WILL CONDUCT THE ON-SITE MONITORING VISIT BY MEETING WITH APPROPRIATE STAFF, REVIEWING A RANDOM SELECTION OF FILES AND OBSERVING THE CONDUCT OF EACH ACTIVITY. THE RESULTS OF EACH MONITORING VISIT ARE THEN INCORPORATED INTO EACH DEPARTMENT PROJECT FILE.

THE CITY OF UTICA RETAINS THE ABILITY TO SCHEDULE ADDITIONAL MONITORING VISITS AS MAY BE NECESSITATED BY PROBLEMS IDENTIFIED IN THE MONITORING VISIT OR WHEN GRANT CONDITIONS DEMONSTRATE A NEED FOR ADDITIONAL REVIEW.

EXPECTED RESOURCES

AP-15 EXPECTED RESOURCES – 91.220(c)(1,2) INTRODUCTION

ANTICIPATED RESOURCES

| PROGRAM | SOURCE OF FUNDS | USES OF FUNDS | EXPECTED AMOUNT AVAILABLE YEAR 1 | | | | EXPECTED AMOUNT AVAILABLE REMAINDER OF CONPLAN \$ | NARRATIVE DESCRIPTION |
|---------|------------------|----------------------------------------------------------------------------------------------------------------|----------------------------------|--------------------|--------------------------|-----------|---------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | | ANNUAL ALLOCATION: \$ | PROGRAM INCOME: \$ | PRIOR YEAR RESOURCES: \$ | TOTAL: \$ | | |
| CDBG | PUBLIC - FEDERAL | ACQUISITION ADMIN AND PLANNING ECONOMIC DEVELOPMENT HOUSING PUBLIC IMPROVEMENTS PUBLIC SERVICES | 2,566,751 | 280,000 | 150,000 | 2,996,751 | 10,000,000 | FUNDS WILL BE USED FOR COMMUNITY AND ECONOMIC DEVELOPMENT INITIATIVES IN LOW-AND MODERATE INCOME NEIGHBORHOODS, INCLUDING AFFORDABLE HOUSING, HOUSING PRESERVATION, PUBLIC SERVICES FOR AT-RISK POPULATIONS AND PUBLIC INFRASTRUCTURE IMPROVEMENTS.THE CITY WILL TRANSFER \$150,000 IN CDBG REVOLVING LOAN FUND PROCEEDS/PROGRAM INCOME TO DEMOLITION IN THE CURRENT 2020-2021 PROGRAM YEAR. |

| PROGRAM | SOURCE OF FUNDS | USES OF FUNDS | EXPECTED AMOUNT AVAILABLE YEAR 1 | | | | EXPECTED AMOUNT AVAILABLE REMAINDER OF CONPLAN \$ | NARRATIVE DESCRIPTION |
|---------|------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|--------------------|--------------------------|-----------|---------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | | ANNUAL ALLOCATION: \$ | PROGRAM INCOME: \$ | PRIOR YEAR RESOURCES: \$ | TOTAL: \$ | | |
| HOME | PUBLIC - FEDERAL | ACQUISITION HOMEBUYER ASSISTANCE HOMEOWNER REHAB MULTIFAMILY RENTAL NEW CONSTRUCTION MULTIFAMILY RENTAL REHAB NEW CONSTRUCTION FOR OWNERSHIP TBRA | 658,303 | 0 | 0 | 658,303 | 2,600,000 | HOME FUNDS WILL BE USED TO DEVELOP AFFORDABLE HOUSING FOR LOW INCOME FAMILIES, INCLUDING NEW CONSTRUCTION AND REHABILITATION OF SINGLE- AND MULTI-FAMILY UNITS. |

| PROGRAM | SOURCE OF FUNDS | USES OF FUNDS | EXPECTED AMOUNT AVAILABLE YEAR 1 | | | | EXPECTED AMOUNT AVAILABLE REMAINDER OF CONPLAN \$ | NARRATIVE DESCRIPTION |
|---------|------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|--------------------|--------------------------|-----------|---------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | | ANNUAL ALLOCATION: \$ | PROGRAM INCOME: \$ | PRIOR YEAR RESOURCES: \$ | TOTAL: \$ | | |
| ESG | PUBLIC - FEDERAL | CONVERSION AND REHAB FOR TRANSITIONAL HOUSING FINANCIAL ASSISTANCE OVERNIGHT SHELTER RAPID RE-HOUSING (RENTAL ASSISTANCE) RENTAL ASSISTANCE SERVICES TRANSITIONAL HOUSING | 215,750 | 0 | 140,084 | 355,834 | 840,000 | ESG FUNDS WILL BE USED TO ASSIST HOMELESS INDIVIDUALS WITH SHELTER SERVICES, TRANSITIONAL HOUSING, AND RAPID RE-HOUSING SERVICES. THE 2020-2021 PROGRAM YEAR WILL BE SUPPLEMENTED BY \$140,084 IN ESG FUNDS FROM PROGRAM YEARS BETWEEN 2016 AND 2019 THAT WERE NO LONGER ELIGIBLE FOR THEIR PRIOR USE. |
| OTHER | PUBLIC - FEDERAL | ADMIN AND PLANNING ECONOMIC DEVELOPMENT FINANCIAL ASSISTANCE PUBLIC SERVICES RAPID RE-HOUSING (RENTAL ASSISTANCE) OTHER | 1,510,166 | 0 | 0 | 1,510,166 | 0 | CDBG-CV FUNDS TO BE USED TO PREVENT, PREPARE FOR, AND RESPOND TO CORONAVIRUS |

| PROGRAM | SOURCE OF FUNDS | USES OF FUNDS | EXPECTED AMOUNT AVAILABLE YEAR 1 | | | | EXPECTED AMOUNT AVAILABLE REMAINDER OF CONPLAN \$ | NARRATIVE DESCRIPTION |
|---------|------------------|-----------------------|----------------------------------|--------------------|--------------------------|-----------|---------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | | ANNUAL ALLOCATION: \$ | PROGRAM INCOME: \$ | PRIOR YEAR RESOURCES: \$ | TOTAL: \$ | | |
| OTHER | PUBLIC - FEDERAL | OTHER | 1,230,055 | 0 | 0 | 1,230,055 | 0 | TO PREVENT, PREPARE FOR AND RESPOND TO THE CORONAVIRUS PANDEMIC FOR THE BENEFIT OF THOSE IN THE CITY OF UTICA THAT ARE EITHER CURRENTLY HOMELESSNESS OR IN DANGER OF BECOMING HOMELESS |
| OTHER | PUBLIC - FEDERAL | PUBLIC SERVICES OTHER | 679,576 | 0 | 0 | 679,576 | 0 | CARES ACT CDBG-CV (III) |

TABLE 54 - EXPECTED RESOURCES – PRIORITY TABLE

EXPLAIN HOW FEDERAL FUNDS WILL LEVERAGE THOSE ADDITIONAL RESOURCES (PRIVATE, STATE AND LOCAL FUNDS), INCLUDING A DESCRIPTION OF HOW MATCHING REQUIREMENTS WILL BE SATISFIED

THE CITY OF UTICA HAS GROWN ADEPT AT LEVERAGING ITS SCARCE RESOURCES FOR ITS PRIORITY PROJECTS TO SECURE ADDITIONAL SOURCES OF FUNDING. FOR THE PAST SEVERAL YEARS AND FOR THE NEXT SEVERAL YEARS MOVING FORWARD, STATE DOLLARS ARE MADE AVAILABLE MOST OFTEN THROUGH GOVERNOR CUOMO'S CONSOLIDATED FUNDING APPLICATION (CFA) ROUNDS. THE CITY HAS UTILIZED ITS FEDERAL DOLLARS, WHERE APPLICABLE, AS A LOCAL MATCH TO SECURE STATE FUNDING THROUGH THE CFA PROCESS.

RELATIVE TO MATCH REQUIREMENTS, THE CITY OF UTICA ANTICIPATES RECEIVING A 100% MATCH REDUCTION FROM HUD FOR ITS HOME PROGRAM; NO ADDITIONAL ANTICIPATED RESOURCES ARE REQUIRED. HOWEVER, APPLICATIONS PROVIDING LEVERAGED FUNDS FROM STATE, LOCAL, LIHTC OR PRIVATE SOURCES ARE GIVEN PREFERENCE. IN ITS ESG PROGRAM, APPLICANTS ARE REQUIRED TO INDICATE HOW THEY INTEND TO MATCH THE FUNDS PROVIDED TO THEM AND THE SOURCE OF THOSE FUNDS. FINALLY, WHILE CDBG DOES NOT HAVE SET MATCHING REQUIREMENTS, THE CITY DOES ASK THAT PUBLIC SERVICES AGENCIES INDICATE THE SOURCE AND EXTENT OF MATCHING FUNDS AGAINST ITS CDBG ALLOCATION. ADDITIONALLY, FINANCING FROM PRIVATE SOURCES OR BANKS ARE REQUIRED OF ANY LOAN APPLICANT FROM THE CITY'S ECONOMIC REINVESTMENT PROGRAM.

IF APPROPRIATE, DESCRIBE PUBLICALLY OWNED LAND OR PROPERTY LOCATED WITHIN THE JURISDICTION THAT MAY BE USED TO ADDRESS THE NEEDS IDENTIFIED IN THE PLAN

THE CITY OF UTICA IS SPATIALLY CONSTRAINED AND HIGHLY DEVELOPED. AS SUCH, THERE ARE NO ‘GREENFIELDS’ ON WHICH NEW DEVELOPMENT CAN BE PLANNED. THEREFORE, ECONOMIC DEVELOPMENT IN THE CITY OF UTICA MUST RELY ON AN AGGRESSIVE BROWNFIELD REDEVELOPMENT PROGRAM. GIVEN THE LIABILITY RISK IN OWNING SUCH PROPERTIES, THE CITY OF UTICA DOES NOT OWN LARGE SWATHS OF SUCH LAND. THE CITY OF UTICA HAS HISTORICALLY NOT ALLOCATED CDBG FUNDS TO BROWNFIELD PROJECTS. HOWEVER, GIVEN THE OBVIOUS NEED AT THIS TIME, FUNDS HAVE BEEN ALLOCATED TO SUCH A PROGRAM IN THE CURRENT 2020 – 2021 PROGRAM YEAR.

DISCUSSION

IN 2021, A SUBSTANTIAL AMENDMENT WAS DRAFTED TO REALLOCATE OLD MONEY TO CURRENT PROJECTS. IN THE CDBG PROGRAM, \$150,000 IS BEING MOVED FROM THE PROGRAM'S REVOLVING LOAN FUND PROCEEDS/PROGRAM INCOME TO DEMOLITION PROJECTS IN THE 2021-2022 PROGRAM YEAR. IN THE ESG PROGRAM, \$140,084 IN FUNDS ALLOCATED TO AGENCIES NO LONGER UNDER CONTRACT OR FOR ACTIVITIES NO LONGER ELIGIBLE UNDER THE ESG PROGRAM GUIDELINES IS BEING MOVED TO SUPPLEMENT A VARIETY OF ELIGIBLE ESG ACTIVITIES.

JOHNSON PARK CENTER SHELTER EMERGENCY REPAIRS - \$18,900 / RESCUE MISSION SHELTER SERVICES PROVIDED BEYOND ORIGINAL SCOPE - \$10,000 / UTICA CENTER FOR DEVELOPMENT HOMELESSNESS PREVENTION SERVICES EXPANSION - \$10,000 / UTICA MUNICIPAL HOUSING AUTHORITY HOMELESS STREET OUTREACH PURCHASE OF REPLACEMENT TRANSPORT VEHICLE - \$13,703 / YWCA HALL HOUSE SHELTER REPAIRS AND UPGRADES - \$10,000 / ICAN RAPID REHOUSING EXPANSION - \$57,481 (REPLACES AMOUNT PREVIOUSLY DETERMINED TO BE AVAILABLE FROM OLD MONEY) / UTICA MUNICIPAL HOUSING AUTHORITY RAPID REHOUSING PROGRAM EXPANSION - \$20,000

ANNUAL GOALS AND OBJECTIVES

AP-20 ANNUAL GOALS AND OBJECTIVES

GOALS SUMMARY INFORMATION

| SORT ORDER | GOAL NAME | START YEAR | END YEAR | CATEGORY | GEOGRAPHIC AREA | NEEDS ADDRESSED | FUNDING | GOAL OUTCOME INDICATOR |
|------------|--------------|------------|----------|--------------------|--------------------------------|-----------------|-----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | HOUSING | 2020 | 2024 | AFFORDABLE HOUSING | CITY OF UTICA CDBG TARGET AREA | HOUSING | HOME: \$658,303 | RENTAL UNITS CONSTRUCTED: 20 HOUSEHOLD HOUSING UNIT RENTAL UNITS REHABILITATED: 20 HOUSEHOLD HOUSING UNIT HOMEOWNER HOUSING ADDED: 0 HOUSEHOLD HOUSING UNIT HOMEOWNER HOUSING REHABILITATED: 12 HOUSEHOLD HOUSING UNIT |
| 2 | HOMELESSNESS | 2020 | 2024 | HOMELESS | CITY OF UTICA CDBG TARGET AREA | HOMELESSNESS | ESG: \$247,480 | HOMELESS PERSON OVERNIGHT SHELTER: 200 PERSONS ASSISTED OVERNIGHT/EMERGENCY SHELTER/TRANSITIONAL HOUSING BEDS ADDED: 10 BEDS HOUSING FOR HOMELESS ADDED: 4 HOUSEHOLD HOUSING UNIT |

| SORT ORDER | GOAL NAME | START YEAR | END YEAR | CATEGORY | GEOGRAPHIC AREA | NEEDS ADDRESSED | FUNDING | GOAL OUTCOME INDICATOR |
|------------|-----------------------------------------|------------|----------|-----------------------------------|--------------------------------|-----------------------------------------|-------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 4 | COMMUNITY DEVELOPMENT | 2020 | 2024 | NON-HOUSING COMMUNITY DEVELOPMENT | CITY OF UTICA CDBG TARGET AREA | COMMUNITY DEVELOPMENT | CDBG: \$2,011,735 | PUBLIC FACILITY OR INFRASTRUCTURE ACTIVITIES OTHER THAN LOW/MODERATE INCOME HOUSING BENEFIT: 3000 PERSONS ASSISTED PUBLIC FACILITY OR INFRASTRUCTURE ACTIVITIES FOR LOW/MODERATE INCOME HOUSING BENEFIT: 20 HOUSEHOLDS ASSISTED PUBLIC SERVICE ACTIVITIES OTHER THAN LOW/MODERATE INCOME HOUSING BENEFIT: 3500 PERSONS ASSISTED PUBLIC SERVICE ACTIVITIES FOR LOW/MODERATE INCOME HOUSING BENEFIT: 20 HOUSEHOLDS ASSISTED FACADE TREATMENT/BUSINESS BUILDING REHABILITATION: 10 BUSINESS BROWNFIELD ACRES REMEDIATED: 4 ACRE BUSINESSES ASSISTED: 4 BUSINESSES ASSISTED BUILDINGS DEMOLISHED: 4 BUILDINGS |
| 5 | ECONOMIC DEVELOPMENT | 2020 | 2024 | ECONOMIC DEVELOPMENT | CITY OF UTICA CDBG TARGET AREA | COMMUNITY DEVELOPMENT | CDBG: \$266,000 | BUSINESSES ASSISTED: 6 BUSINESSES ASSISTED |
| 6 | ADMINISTRATION, PLANNING AND MANAGEMENT | 2020 | 2024 | ADMINISTRATION | CITY OF UTICA CDBG TARGET AREA | ADMINISTRATION, PLANNING AND MANAGEMENT | CDBG: \$569,016 | OTHER: 1 OTHER |

TABLE 55 – GOALS SUMMARY

GOAL DESCRIPTIONS

| | | |
|---|------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | GOAL NAME | HOUSING |
| | GOAL DESCRIPTION | THE CITY OF UTICA HAS ALLOCATED \$142,545 FOR HOUSING REHABILITATION OF HOMEOWNER UNITS, \$347,086 FOR RENTAL HOUSING REHABILITATION/DEVELOPMENT, \$98,758 AS A CHDO SET-ASIDE, \$20,000 FOR CHDO OPERATIONS AND \$49,914 FOR GENERAL ADMINISTRATION; ALL PROJECTS ARE PLANNED FOR THE CITY OF UTICA CDBG TARGET AREA. |
| 2 | GOAL NAME | HOMELESSNESS |
| | GOAL DESCRIPTION | WITH THE \$215,750 AVAILABLE TO THE CITY IN EMERGENCY SOLUTIONS GRANT MONIES FOR THE 2020 - 2021 PROGRAM YEAR, THE CITY INTENDS TO FUND THE FOLLOWING PROJECTS: \$10,000 FOR HMIS; \$16, 181 FOR ADMINISTRATIVE COSTS; \$107,559 FOR RAPID REHOUSING/HOMELESSNESS PREVENTION; AND \$113,740 FOR STREET OUTREACH/EMERGENCY HOUSING. |
| 4 | GOAL NAME | COMMUNITY DEVELOPMENT |
| | GOAL DESCRIPTION | WITH THESE FUNDS, THE CITY OF UTICA HAS ALLOCATED \$825,000 TO PUBLIC FACILITIES/IMPROVEMENTS, \$330,850 TO DEMOLITION, \$250,735 TO BROWNFIELD REMEDIATION, \$355,150 TO PUBLIC SERVICES, \$225,000 TO REHABILITATION: PRIVATELY-OWNED COMMERCIAL, AND \$25,000 TO NON-RESIDENTIAL HISTORIC PRESERVATION |
| 5 | GOAL NAME | ECONOMIC DEVELOPMENT |
| | GOAL DESCRIPTION | WITH THESE FUNDS, THE CITY OF UTICA WILL CAPITALIZE ITS REVOLVING LOAN FUND, THE ECONOMIC REINVESTMENT PROGRAM (ERP), FOR ANOTHER YEAR FOR \$150,000. THE REMAINING \$116,000 IN FUNDS WILL BE USED FOR PROGRAM DELIVERY COSTS. |
| 6 | GOAL NAME | ADMINISTRATION, PLANNING AND MANAGEMENT |
| | GOAL DESCRIPTION | WITH THESE FUNDS, THE CITY OF UTICA WILL FUND SALARY AND FRINGE COSTS FOR ITS DEPARTMENT OF URBAN & ECONOMIC DEVELOPMENT (\$450,702). IN ADDITION, THE CITY WILL INVEST \$34,314 IN A CONSULTANT TO ASSIST IT WITH THE DEVELOPMENT OF AN ANALYSIS OF IMPEDIMENTS TO FAIR HOUSING. FINALLY, \$84,000 HAS BEEN ALLOCATED TO INDIRECT COSTS. |

PROJECTS
AP-35 PROJECTS – 91.220(D)
INTRODUCTION

ASDF

PROJECTS

| # | PROJECT NAME |
|----|------------------------------------------------------------------------|
| 1 | PUBLIC FACILITIES AND IMPROVEMENTS |
| 2 | DEMOLITION AND BROWNFIELD REMEDIATION |
| 3 | PUBLIC SERVICES |
| 4 | REHABILITATION - PRIVATELY-OWNED COMMERCIAL |
| 5 | NON-RESIDENTIAL HISTORIC PRESERVATION |
| 6 | ECONOMIC DEVELOPMENT |
| 7 | GENERAL PROGRAM ADMINISTRATION |
| 8 | HOUSING |
| 9 | HESG ACTIVITIES-HESG PY 20-21+HESG-CV1 & # 3+HESG 2016/17/18 OLD FUNDS |
| 10 | COMMUNITY KITCHENS |
| 11 | LANDLORD ASSISTANCE THROUGH EMERGENCY REPAIRS |
| 12 | EMPLOYMENT VIA SOCIAL ENTERPRISE |

TABLE 56 – PROJECT INFORMATION

DESCRIBE THE REASONS FOR ALLOCATION PRIORITIES AND ANY OBSTACLES TO ADDRESSING UNDERSERVED NEEDS

AP-38 PROJECT SUMMARY
PROJECT SUMMARY INFORMATION

| | | |
|---|-----------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | PROJECT NAME | PUBLIC FACILITIES AND IMPROVEMENTS |
| | TARGET AREA | CITY OF UTICA CDBG TARGET AREA |
| | GOALS SUPPORTED | COMMUNITY DEVELOPMENT |
| | NEEDS ADDRESSED | COMMUNITY DEVELOPMENT |
| | FUNDING | CDBG: \$825,000 |
| | DESCRIPTION | \$25,000 FOR FIRST PHASE OF ONE WORLD GARDEN AT CHANCELLOR PARK AND \$800,000 FOR STREET RECONSTRUCTION/REPAVING OF RESIDENTIAL STREETS IN THE CDBG TARGET AREA |
| | TARGET DATE | 3/31/2021 |
| | ESTIMATE THE NUMBER AND TYPE OF FAMILIES THAT WILL BENEFIT FROM THE PROPOSED ACTIVITIES | IT IS ESTIMATED THAT APPROXIMATELY 3,000 LOW- TO MODERATE-INCOME PERSONS WILL BENEFIT FROM THE TWO PROJECTS, COMBINED. |
| | LOCATION DESCRIPTION | CHANCELLOR PARK AND PRIMARILY RESIDENTIAL STREETS WITHIN THE CDBG TARGET AREA |
| | PLANNED ACTIVITIES | \$25,000 FOR FIRST PHASE OF ONE WORLD GARDEN AT CHANCELLOR PARK AND \$800,000 FOR STREET RECONSTRUCTION/REPAVING OF RESIDENTIAL STREETS IN THE CDBG TARGET AREA |
| 2 | PROJECT NAME | DEMOLITION AND BROWNFIELD REMEDIATION |
| | TARGET AREA | CITY OF UTICA CDBG TARGET AREA |
| | GOALS SUPPORTED | COMMUNITY DEVELOPMENT |
| | NEEDS ADDRESSED | COMMUNITY DEVELOPMENT |
| | FUNDING | CDBG: \$731,585 |
| | DESCRIPTION | DEMOLITION OF SUBSTANDARD HOUSING AND/OR COMMERCIAL BUILDINGS AND REMEDIATION OF SUSPECTED BROWNFIELD SITES |
| | TARGET DATE | 3/31/2021 |
| | ESTIMATE THE NUMBER AND TYPE OF FAMILIES THAT WILL BENEFIT FROM THE PROPOSED ACTIVITIES | DIFFICULT TO DETERMINE WITHOUT KNOWING THE EXACT LOCATIONS. |
| | LOCATION DESCRIPTION | EXACT LOCATION(S) OF STRUCTURES TO BE DEMOLISHED ARE TO BE DETERMINED. |
| | PLANNED ACTIVITIES | DEMOLITION OF UP TO FOUR (6) SUBSTANDARD RESIDENTIAL AND/OR COMMERCIAL BUILDINGS. REMEDIATION OF UP TO 4 ACRES OF BROWNFIELD SITE(S). |
| 3 | PROJECT NAME | PUBLIC SERVICES |
| | TARGET AREA | CITY OF UTICA CDBG TARGET AREA |
| | GOALS SUPPORTED | COMMUNITY DEVELOPMENT |

| | | |
|--|-----------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|
| | NEEDS ADDRESSED | COMMUNITY DEVELOPMENT |
| | FUNDING | CDBG: \$355,150 CDBG-CV: \$360,000 |
| | DESCRIPTION | PUBLIC SERVICES TO AT LEAST 51% OF PERSONS AND FAMILIES OF LOW- TO MODERATE-INCOME |
| | TARGET DATE | 3/31/2021 |
| | ESTIMATE THE NUMBER AND TYPE OF FAMILIES THAT WILL BENEFIT FROM THE PROPOSED ACTIVITIES | IT IS ESTIMATED THAT APPROXIMATELY 1,800 LOW- TO MODERATE-INCOME FAMILIES WILL BENEFIT FROM THE PUBLIC SERVICES. |
| | LOCATION DESCRIPTION | SERVICES WILL LARGELY BE OFFERED WITHIN THE CDBG TARGET AREA |

| | | |
|---|--------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | PLANNED ACTIVITIES | <p>SENIOR ACTIVITIES, INCLUDING: \$26,000 FOR PARKWAY SENIOR CENTER, \$26,000 FOR NORTH UTICA SENIOR CENTER, \$25,000 FOR RESIDENTIAL CAREGIVING FOR TERMINALLY ILL AT ABRAHAM HOUSE AND \$6,500 FOR SENIOR TRANSPORTATION THROUGH THE UTICA PUBLIC LIBRARY</p> <p>YOUTH ACTIVITIES, INCLUDING: \$25,000 FOR A SPORTS MENTORING PROGRAM OFFERED BY THE UTICA CENTER FOR DEVELOPMENT, \$15,000 FOR COUNSELING SERVICES TO HIGH SCHOOL YOUTH THROUGH THE ONPOINT FOR COLLEGE UTICA, \$27,500 FOR CHECK & CONNECT MENTORING PROGRAM THROUGH THE SAFE SCHOOLS MOHAWK VALLEY AT THE PARKWAY REC CENTER, \$20,000 FOR DROP-IN ENRICHMENT PROGRAM OFFERED BY THE JOHNSON PARK CENTER, \$35,000 FOR BOTVIN LIFE SKILLS TRAINING PROGRAM OFFERED BY THE SAFE SCHOOLS MOHAWK VALLEY AT THE UNDERGROUND TEEN CENTER, \$4,150 FOR AN AFTER-SCHOOL PROGRAM OFFERED BY REBUILDING THE VILLAGE AT THE EMPOWERMENT CENTER, \$30,000 FOR PATHWAYS TO JUSTICE CAREER TRAINING PROGRAM OFFERED BY THE WORKFORCE INVESTMENT BOARD, AND \$40,000 FOR TUTORING/MENTORING OFFERED BY UTICA COLLEGE YOUNG SCHOLARS</p> <p>OTHER PUBLIC SERVICES, INCLUDING: \$10,000 FOR MENTAL HEALTH MENTORING OFFERED BY THE CENTER FOR FAMILY LIFE AND RECOVERY, \$50,000 FOR STAFFING OF AN EXTENDED HOURS CHILD CARE PROGRAM OFFERED BY THE UNITED WAY OF THE VALLEY & GREATER UTICA AREA, AND \$15,000 TO HIRE A FARMER'S MARKET MANAGER SPONSORED BY THE PARKWAY CENTER</p> <p>WITH CDBG-CV FUNDING, THE CITY OF UTICA PROPOSES TO ALLOCATE \$360,000 FOR THREE (3) PUBLIC SERVICES, INCLUDING: \$195,000 TO BE ALLOCATED TO THE UNITED WAY OF THE VALLEY AND GREATER UTICA AREA FOR ALLOCATION TO LOCAL FOOD BANKS AND PANTRIES THAT DISTRIBUTE FOOD TO NEEDY PERSONS AND FAMILIES LIVING IN UTICA; \$40,000 TO HOMEOWNERSHIP CENTER TO RE-TOOL THEIR COMMUNITY ORGANIZING EFFORTS IN THE WAKE OF COVID-19 WITH A FOCUS ON EXISTING NEIGHBORHOOD ASSOCIATIONS W/IN THE CITY'S CDBG TARGET AREA; AND \$125,000 TO ESTABLISH 'UTICA GREEN TEAMS', ADMINISTERED BY THE CITY'S YOUTH BUREAU WHICH WILL BE COMPRISED OF TEAMS OF TEN YOUTH OR LESS AGES 14 TO 21 THAT CONDUCT MINI-NEIGHBORHOOD 'SWEEPS' W/IN THE CDBG TARGET AREA, CLEANING DEBRIS AND LITTER IN PUBLIC SPACE, PAINTING FIRE HYDRANTS, ETC.</p> |
| 4 | PROJECT NAME | REHABILITATION - PRIVATELY-OWNED COMMERCIAL |
| | TARGET AREA | CITY OF UTICA CDBG TARGET AREA |
| | GOALS SUPPORTED | COMMUNITY DEVELOPMENT |
| | NEEDS ADDRESSED | COMMUNITY DEVELOPMENT |
| | FUNDING | CDBG: \$225,000 |
| | DESCRIPTION | FACADE IMPROVEMENT PROGRAM FOR PRIVATELY-OWNED, COMMERCIAL BUILDINGS |
| | TARGET DATE | 3/31/2021 |

| | | |
|---|-----------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | ESTIMATE THE NUMBER AND TYPE OF FAMILIES THAT WILL BENEFIT FROM THE PROPOSED ACTIVITIES | DIFFICULT TO DETERMINE |
| | LOCATION DESCRIPTION | DOWNTOWN UTICA WITHIN THE BOUNDARIES OF THE DOWNTOWN REVITALIZATION INITIATIVE AND IN AND AROUND THE MHVS INTEGRATED HEALTH CAMPUS |
| | PLANNED ACTIVITIES | FACADE IMPROVEMENT PROGRAM FOR PRIVATELY-OWNED, COMMERCIAL BUILDINGS |
| 5 | PROJECT NAME | NON-RESIDENTIAL HISTORIC PRESERVATION |
| | TARGET AREA | CITY OF UTICA CDBG TARGET AREA |
| | GOALS SUPPORTED | COMMUNITY DEVELOPMENT |
| | NEEDS ADDRESSED | COMMUNITY DEVELOPMENT |
| | FUNDING | CDBG: \$25,000 |
| | DESCRIPTION | HISTORIC PRESERVATION OF PRIVATELY-OWNED, NON-RESIDENTIAL PROPERTIES |
| | TARGET DATE | 3/31/2021 |
| | ESTIMATE THE NUMBER AND TYPE OF FAMILIES THAT WILL BENEFIT FROM THE PROPOSED ACTIVITIES | PROJECT FALLS UNDER ELIMINATION OF SLUMS AND BLIGHT NATIONAL OBJECTIVE. AS SUCH, THIS FIGURE IS IMPOSSIBLE AND UNNECESSARY TO DETERMINE. |
| | LOCATION DESCRIPTION | 2014 GENESEE STREET |
| | PLANNED ACTIVITIES | REPLACEMENT OF ROOF OF UPTOWN THEATRE |
| 6 | PROJECT NAME | ECONOMIC DEVELOPMENT |
| | TARGET AREA | CITY OF UTICA CDBG TARGET AREA |
| | GOALS SUPPORTED | ECONOMIC DEVELOPMENT |
| | NEEDS ADDRESSED | ECONOMIC DEVELOPMENT |
| | FUNDING | CDBG: \$266,000 CDBG-CV: \$225,000 |
| | DESCRIPTION | ECONOMIC DEVELOPMENT |
| | TARGET DATE | 6/17/2022 |
| | ESTIMATE THE NUMBER AND TYPE OF FAMILIES THAT WILL BENEFIT FROM THE PROPOSED ACTIVITIES | <p>BASED ON A CAPITALIZATION OF \$150,000 AND A GENERAL RULE OF THUMB OF \$15,000 PER JOB CREATED, IT CAN BE ESTIMATED THAT 10 FAMILIES WILL BENEFIT DIRECTLY.</p> <p>WITH CDBG-CV FUNDS, THE CITY WILL PROVIDE FORGIVABLE LOANS OF UP TO \$10,000 PER BUSINESS THAT RETAINED JOBS THROUGH THE PANDEMIC. BASED ON THAT, AS MANY AS 23 BUSINESSES CAN BE ASSISTED.</p> |
| | LOCATION DESCRIPTION | |

| | | |
|---|-----------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | PLANNED ACTIVITIES | <p>\$150,000 FOR CAPITALIZATION OF THE CITY'S REVOLVING LOAN FUND AND \$116,000 FOR PROGRAM DELIVERY COSTS</p> <p>\$225,000 WITH CDBG-CV FUNDS TO ESTABLISH A FORGIVABLE LOAN PROGRAM THAT WILL PROVIDE UP TO \$10,000 PER BUSINESS FOR WORKING CAPITAL TO BUSINESSES THAT RETAINED EMPLOYMENT THROUGH THE PANDEMIC. THIS ACTIVITY WILL BE UNDER THE URGENT NEED NATIONAL OBJECTIVE AND, AS SUCH, WILL NOT BE INCOME-ELIGIBILITY BASED.</p> |
| 7 | PROJECT NAME | GENERAL PROGRAM ADMINISTRATION |
| | TARGET AREA | CITY OF UTICA CDBG TARGET AREA |
| | GOALS SUPPORTED | ADMINISTRATION, PLANNING AND MANAGEMENT |
| | NEEDS ADDRESSED | ADMINISTRATION, PLANNING AND MANAGEMENT |
| | FUNDING | <p>CDBG: \$569,016</p> <p>CDBG-CV: \$300,166</p> |
| | DESCRIPTION | GENERAL PROGRAM ADMINISTRATION |
| | TARGET DATE | 6/17/2022 |
| | ESTIMATE THE NUMBER AND TYPE OF FAMILIES THAT WILL BENEFIT FROM THE PROPOSED ACTIVITIES | NOT APPLICABLE |
| | LOCATION DESCRIPTION | |
| | PLANNED ACTIVITIES | <p>\$450,702 FOR ADMINISTRATIVE COSTS, \$34,314 FOR THE PROCUREMENT OF A CONSULTANT TO ASSIST CITY STAFF WITH THE DEVELOPMENT OF AN ANALYSIS OF IMPEDIMENTS TO FAIR HOUSING AND \$84,000 TO REIMBURSE THE CITY FOR INDIRECT COSTS BASED ON AN INDEPENDENT CPA REPORT. ADDITIONALLY, \$300,166 OF CDBG-CV FUNDS ARE ANTICIPATED TO BE USED FOR GENERAL ADMINISTRATION.</p> |
| 8 | PROJECT NAME | HOUSING |
| | TARGET AREA | CITY OF UTICA CDBG TARGET AREA |
| | GOALS SUPPORTED | <p>HOUSING</p> <p>HOMELESSNESS</p> |
| | NEEDS ADDRESSED | <p>HOUSING</p> <p>HOMELESSNESS</p> |
| | FUNDING | <p>HOME: \$658,303</p> <p>CDBG-CV: \$625,000</p> |
| | DESCRIPTION | FUNDING OF A VARIETY OF HOUSING-RELATED PROJECTS WITH HOME INVESTMENT PARTNERSHIP FUNDS |
| | TARGET DATE | 6/17/2022 |
| | | |

| | | |
|---|-----------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | ESTIMATE THE NUMBER AND TYPE OF FAMILIES THAT WILL BENEFIT FROM THE PROPOSED ACTIVITIES | |
| | LOCATION DESCRIPTION | |
| | PLANNED ACTIVITIES | <p>\$142,545 TO FUND THE REHABILITATION OR CONSTRUCTION OF HOMEOWNER UNITS WITHIN THE CDBG TARGET AREA, \$347,087 FOR THE REHABILITATION OF RENTAL UNITS WITHIN THE CDBG TARGET AREA, \$98,758 AS A CHDO SET-ASIDE, \$20,000 FOR CHDO OPERATIONS AND \$49,914 FOR GENERAL ADMINISTRATION</p> <p>FROM THE FIRST ROUND OF CDBG-CV FUNDS, THE CITY PROPOSES TO FUND THREE (3) DIFFERENT ACTIVITIES AIMED AT HOMELESSNESS PREVENTION. AS ESG-CV FUNDS HAVE ALREADY BEEN APPROVED FOR A RENT RELIEF PROGRAM THAT COVERS INDIVIDUALS AND FAMILIES AT OR BELOW 50% AMI, THE CITY IS PROPOSING TO USE CDBG-CV FUNDS TO PROVIDE RENT RELIEF FOR INDIVIDUALS AND FAMILIES IN THE 50% TO 80% AMI INCOME RANGE. ADDITIONALLY, THE CITY IS PROPOSING MORTGAGE RELIEF FOR INDIVIDUALS AND FAMILIES BELOW 80% AMI AND BETWEEN 80% AND 120% AMI.</p> |
| 9 | PROJECT NAME | HESG ACTIVITIES-HESG PY 20-21+HESG-CV1 & # 3+HESG 2016/17/18 OLD FUNDS |
| | TARGET AREA | CITY OF UTICA CDBG TARGET AREA |
| | GOALS SUPPORTED | HOMELESSNESS |
| | NEEDS ADDRESSED | HOMELESSNESS |
| | FUNDING | <p>ESG: \$355,834</p> <p>ESG-CV (III): \$486,089</p> <p>ESG-CV: \$743,966</p> |
| | DESCRIPTION | TO FUND PROJECTS THAT ADDRESS HOMELESSNESS IN THE CITY OF UTICA INCLUDING RAPID RE-HOUSING, SHELTER, HOMELESS PREVENTION, STREET OUTREACH AND ADMINISTRATION. AS WELL AS HESG-CV1 ACTIVITIES (\$743,966)HESG 2020-2021 \$215,750 + HESG-CV1 \$743,966 + HESG 2016/17/18 FUNDS \$140,084 + HESG=CV 3 \$486,089= \$1,585,889 |
| | TARGET DATE | 6/1/2022 |
| | ESTIMATE THE NUMBER AND TYPE OF FAMILIES THAT WILL BENEFIT FROM THE PROPOSED ACTIVITIES | RELATIVE TO THE 2020 ESG FUNDS, IT IS ESTIMATED THAT 50 VERY LOW-, LOW- AND MODERATE-INCOME FAMILIES WILL BENEFIT FROM THE PROPOSED ACTIVITIES. FOR THE CARES ACT SUPPLEMENTAL ESG-CV FUNDS, IT IS ESTIMATED THAT ANOTHER 500 VERY LOW- AND LOW-INCOME FAMILIES WILL BENEFIT FROM THE PROPOSED ACTIVITIES. |
| | LOCATION DESCRIPTION | |

| | | |
|----|--------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | PLANNED ACTIVITIES | <p>FUNDED ACTIVITIES INCLUDE: RAPID REHOUSING/HOMELESSNESS PREVENTION WITH \$60,478 TO ICAN, \$8,000 TO THE UTICA CENTER FOR DEVELOPMENT, AND \$84,832 TO UTICA MUNICIPAL HOUSING AUTHORITY; \$10,000 TO OC MENTAL HEALTH/SOCIAL SCIENCE ASSOCIATES FOR HMIS ACTIVITIES; \$16,181 FOR ADMINISTRATION; AND STREET OUTREACH/EMERGENCY HOUSING WITH \$52,400 TO JOHNSON PARK CENTER, \$14,000 TO UTICA CENTER FOR DEVELOPMENT, \$34,943 TO UTICA MUNICIPAL HOUSING AUTHORITY, \$25,000 TO THE RESCUE MISSION AND \$50,000 TO YWCA - HALL HOUSE.</p> <p>FOR THE ESG-CV I FUNDS, THE CITY OF UTICA ANTICIPATES PROVIDING ASSISTANCE TO THREE EXISTING EMERGENCY SHELTERS (RESCUE MISSION, M YWCA DV SHELTER AND JOHNSON PARK CENTER) WITH \$150,000 TO ADDRESS IMPACTS THEY'VE FACED AS A DIRECT RESULT OF COVID-19, INCLUDING THE NEED TO PURCHASE PPE, NEEDING ADDITIONAL STAFF TIME TO DISINFECT, HAVING TO MEET SOCIAL DISTANCING REQUIREMENTS, ETC. THE CITY WILL ALSO FUND RAPID REHOUSING ACTIVITIES BY WORKING WITH ICAN TO MOVE 18- TO 25-YEAR OLDS FROM SHELTERS INTO PERMANENT HOUSING. THIS ACTIVITY WILL BE FUNDED AT ROUGHLY \$179,600 AND WILL ADDRESS THE MOST TRANSIENT MEMBERS OF THE CITY'S HOMELESS POPULATION AND, THEREFORE, THE MOST LIKELY TO SPREAD THE VIRUS. THE CITY WILL ALLOCATE \$330,000 FOR A RENT RELIEF PROGRAM TO ASSIST RENTERS WITH FAMILY INCOMES UP TO 50% AMI w/UP TO 3 MONTHS RENT. ADDITIONALLY, THE CITY WILL ALLOCATE \$10,000 TO HMIS REPORTING AND \$74,366 TO ADMINISTRATION.</p> <p>FOR THE ESG-CV III FUNDS, THE CITY OF UTICA ANTICIPATES PROVIDING ASSISTANCE TO THREE LOW BARRIER SHELTERS (RESCUE MISSION, CORNERSTONE COMMUNITY CHURCH AND THE SALVATION ARMY) WITH THE ENTIRE ESG-CV III AWARD OF \$486,089. THE CITY HAS EXPERIENCED A SUBSTANTIAL INCREASE IN THE PEOPLE THAT ARE EITHER HOMELESS OR AT-RISK OF BECOMING HOMELESS, A TREND THAT IS ONLY EXPECTED TO GROW EXPONENTIALLY ONCE THE FORECLOSURE AND EVICTION MORATORIA END. THESE LOW BARRIER SHELTERS WILL WORK TOGETHER TO PROVIDE ROUND-THE-CLOCK SERVICES FOR THOSE POPULATIONS.</p> |
| 10 | PROJECT NAME | COMMUNITY KITCHENS |
| | TARGET AREA | CITY OF UTICA CDBG TARGET AREA |
| | GOALS SUPPORTED | COMMUNITY DEVELOPMENT |
| | NEEDS ADDRESSED | COMMUNITY DEVELOPMENT |
| | FUNDING | CDBG-CV (III): \$280,576 |

| | | |
|----|-----------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | DESCRIPTION | THROUGH THIS FUNDING, THE CITY WILL FUND EXISTING COMMUNITY KITCHENS THAT SERVE HOT MEALS WITHIN THE CITY; PARTICIPATING KITCHENS WILL IN-TURN WORK WITH UTICA-BASED RESTAURANTS TO PROVIDE PRE-PACKAGED MEALS TO THE KITCHENS. THE CITY WILL ALSO WORK COOPERATIVELY WITH THOSE KITCHENS TO MARKET THE PROGRAM TO RESTAURANTS STRICTLY LOCATED WITHIN THE CITY OF UTICA. SELF-CERTIFICATION OF ALL PERSONS/FAMILIES RECEIVING THE MEALS WILL NEED TO BE GATHERED BY EACH PARTICIPATING KITCHEN AND THE CITY WILL NEED TO DOCUMENT THAT AT LEAST 51% OF THOSE RECEIVING MEALS HAVE A TOTAL FAMILY INCOME OF LESS THAN 80% OF AMI. |
| | TARGET DATE | 3/31/2022 |
| | ESTIMATE THE NUMBER AND TYPE OF FAMILIES THAT WILL BENEFIT FROM THE PROPOSED ACTIVITIES | USING AN AVERAGE OF \$15 PER HOT MEAL, A TOTAL OF NEARLY 19,000 CAN BE PROVIDED WITH THIS FUNDING - AT LEAST 51% OF WHICH WILL BE MADE AVAILABLE TO FAMILIES AT OR BELOW 80% OF AMI. |
| | LOCATION DESCRIPTION | INCOME ELIGIBLE FAMILIES WITHIN THE CITY OF UTICA |
| | PLANNED ACTIVITIES | SEE PROJECT DESCRIPTION ABOVE |
| | | |
| 11 | PROJECT NAME | LANDLORD ASSISTANCE THROUGH EMERGENCY REPAIRS |
| | TARGET AREA | CITY OF UTICA CDBG TARGET AREA |
| | GOALS SUPPORTED | COMMUNITY DEVELOPMENT |
| | NEEDS ADDRESSED | COMMUNITY DEVELOPMENT |
| | FUNDING | CDBG-CV (III): \$279,000 |
| | DESCRIPTION | UP TO \$15,000 IN ASSISTANCE WILL BE PROVIDED TO OWNERS OF MULTI-UNIT RESIDENTIAL BUILDINGS TO MAKE EMERGENCY REPAIRS FOR WHICH NO OTHER FUNDING (PUBLIC OR PRIVATE) IS AVAILABLE, DUE TO IMPACTS FROM THE CORONAVIRUS. THE CITY WILL CONTRACT WITH A LOCAL NOT-FOR-PROFIT FAMILIAR WITH CONSTRUCTION AND SELECTED THROUGH A COMPETITIVE PROCESS TO ADMINISTER THIS PROGRAM. EMERGENCY REPAIRS WILL INCLUDE MAJOR BUILDING SYSTEMS (I.E., FURNACE, HOT WATER HEATER, PLUMBING, ELECTRICAL, ETC.), BUILDING ENVELOPE (I.E., ROOF, WINDOWS, ETC.) AND BUILDING ACCESS (I.E., STEPS, RAMPS, ETC.) NECESSARY TO PROTECT THE HEALTH AND SAFETY OF THE LOW- TO MODERATE-INCOME RESIDENTS. IN ORDER TO BE ELIGIBLE, LANDLORDS WILL BE REQUIRED TO PROVE A COVID HARDSHIP, SUCH AS REDUCED RENTAL INCOME FOR A SUSTAINED PERIOD OF TIME SINCE MARCH 2020 AND INSUFFICIENT FUNDS TO COVER THE ANTICIPATED COST OF REPAIRS. |
| | TARGET DATE | 3/31/2022 |
| | ESTIMATE THE NUMBER AND TYPE OF FAMILIES THAT WILL BENEFIT FROM THE PROPOSED ACTIVITIES | ROUGHLY 18 TO 20 RENTAL HOUSING PROPERTIES CAN BE ASSISTED WITH THESE FUNDS |

| | | |
|----|-----------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | LOCATION DESCRIPTION | CITY OF UTICA, NEW YORK |
| | PLANNED ACTIVITIES | SEE PROJECT DESCRIPTION ABOVE |
| 12 | PROJECT NAME | EMPLOYMENT VIA SOCIAL ENTERPRISE |
| | TARGET AREA | CITY OF UTICA CDBG TARGET AREA |
| | GOALS SUPPORTED | HOMELESSNESS |
| | NEEDS ADDRESSED | HOMELESSNESS |
| | FUNDING | CDBG-CV (III): \$120,000 |
| | DESCRIPTION | THIS ACTIVITY WILL REQUIRE THAT A LOCAL SOCIAL SERVICE AGENCY DEVELOP A SOCIAL ENTERPRISE PROGRAM THAT, IN EFFECT, EMPLOYS HOMELESS PERSONS WITHIN THE CITY OF UTICA TO PERFORM TASKS THAT DO NOT COMPETE WITH EXISTING PRIVATE-SECTOR BUSINESSES, SUCH AS ESTABLISHING A SERVICE THAT SHOVELS THE SIDEWALKS OF ELDERLY RESIDENTS IN THE WINTER. |
| | TARGET DATE | 3/31/2022 |
| | ESTIMATE THE NUMBER AND TYPE OF FAMILIES THAT WILL BENEFIT FROM THE PROPOSED ACTIVITIES | IT IS ESTIMATED THAT UPWARDS OF 80 HOMELESS INDIVIDUALS CAN BE ASSOISTED WITH THESE FUNDS. |
| | LOCATION DESCRIPTION | CITY OF UTICA, NEW YORK |
| | PLANNED ACTIVITIES | SEE PROJECT DESCRIPTION ABOVE |

AP-50 GEOGRAPHIC DISTRIBUTION – 91.220(F)

DESCRIPTION OF THE GEOGRAPHIC AREAS OF THE ENTITLEMENT (INCLUDING AREAS OF LOW-INCOME AND MINORITY CONCENTRATION) WHERE ASSISTANCE WILL BE DIRECTED

ASSISTANCE WILL BE TARGETED TO THE CITY OF UTICA’S CDBG TARGET AREA WHICH INCLUDES DOWNTOWN AS WELL AS THE NEIGHBORHOODS OF WEST UTICA AND CORNHILL IN THEIR ENTIRETY ALONG WITH PORTIONS OF EAST UTICA. THE CDBG TARGET AREA ENCOMPASSES THOSE CENSUS TRACTS WHERE, BASED ON 2010 CENSUS DATA, AT LEAST 51% OF THE RESIDENT FAMILIES HAVE AN INCOME AT OR BELOW 80% OF AREA MEDIAN INCOME. THIS AREA COVERS A SIGNIFICANT AREA OF THE CITY, EXCLUDING ONLY THE MORE AFFLUENT NEIGHBORHOODS OF NORTH AND SOUTH UTICA.

GEOGRAPHIC DISTRIBUTION

| TARGET AREA | PERCENTAGE OF FUNDS |
|--------------------------------|---------------------|
| CITY OF UTICA CDBG TARGET AREA | 88 |

TABLE 57 - GEOGRAPHIC DISTRIBUTION

RATIONALE FOR THE PRIORITIES FOR ALLOCATING INVESTMENTS GEOGRAPHICALLY

THE REQUIREMENT THAT THE CITY EXPEND 70% OF ITS COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) FUNDS OVER A THREE-YEAR PERIOD ON ACTIVITIES THAT PRIMARILY BENEFIT PERSONS OF LOW- TO MODERATE-INCOME (L/MI) LARGELY DRIVES THE GEOGRAPHIC BASIS FOR ALLOCATION DECISIONS. IN THE 2020 – 2021 PROGRAM YEAR, MOST (88.1%) OF THE ACTIVITIES WHICH WERE AWARDED CDBG WERE LOCATED WITHIN THE CDBG TARGET AREA. ONLY A HANDFUL OF LARGELY PUBLIC SERVICE ACTIVITIES WERE CLEARLY NOT LOCATION-BASED, BY NATURE; THESE ACTIVITIES STILL SERVE AT LEAST 51% L/MI PERSON BASED ON INCOME DOCUMENTATION.

DISCUSSION

AFFORDABLE HOUSING

AP-55 AFFORDABLE HOUSING – 91.220(g)

INTRODUCTION

IN THE 2020-2021 PROGRAM YEAR, THE CITY HOPES TO UTILIZE ALL GRANTS/ALLOCATIONS, PARTNERSHIPS, DEVELOPERS AND CHDOs TO MAXIMIZE ITS EFFICIENCY IN CREATING AND/OR MAINTAINING HOUSING OPTIONS FOR THE NEEDIEST RESIDENTS. THE FOLLOWING DATA WAS BASED ON SECTION AP-55 OF THE CITY OF UTICA 2020-2014 CONSOLIDATED PLAN.

| ONE YEAR GOALS FOR THE NUMBER OF HOUSEHOLDS TO BE SUPPORTED | |
|-------------------------------------------------------------|-----|
| HOMELESS | 400 |
| NON-HOMELESS | 99 |
| SPECIAL-NEEDS | 11 |
| TOTAL | 510 |

TABLE 58 - ONE YEAR GOALS FOR AFFORDABLE HOUSING BY SUPPORT REQUIREMENT

| ONE YEAR GOALS FOR THE NUMBER OF HOUSEHOLDS SUPPORTED THROUGH | |
|---------------------------------------------------------------|-----|
| RENTAL ASSISTANCE | 116 |
| THE PRODUCTION OF NEW UNITS | 50 |
| REHAB OF EXISTING UNITS | 20 |
| ACQUISITION OF EXISTING UNITS | 20 |
| TOTAL | 206 |

TABLE 59 - ONE YEAR GOALS FOR AFFORDABLE HOUSING BY SUPPORT TYPE
DISCUSSION

WITH THE COMPLETION OF THE ROOSEVELT RESIDENCES PROJECT EXPECTED BY OR SHORTLY AFTER THE CONCLUSION OF THE 2019-2020 PROGRAM YEAR, 50 NEW RENTAL UNITS WILL BE BROUGHT ONLINE. OUR PARTNERSHIP WITH THE HOMEOWNERSHIP CENTER (A CHDO) SHOULD SEE THE REHABILITATION OF 4-8 HOMEOWNER UNITS AS PART OF THEIR MOST RECENT PROJECT, AS WELL AS UP TO 50 UNITS TREATED PER YEAR AS PART OF THE HUD LEAD HAZARD REDUCTION GRANT RECEIVED BY THE CITY IN 2019. THE CITY ALSO CONTINUES TO WORK WITH THE MOHAWK VALLEY HOMELESS COALITION AND ITS PARTNER ORGANIZATIONS TO UTILIZE ESG FUNDING FOR RAPID REHOUSING PROGRAMS AND SHELTERS.

AP-60 PUBLIC HOUSING – 91.220(H) INTRODUCTION

PUBLIC HOUSING IS AN IMPORTANT COMPONENT OF ANY URBAN COMMUNITY, PROVIDING NECESSARY HOUSING TO THE CITY'S LOWEST INCOME POPULATIONS. IN THE CITY OF UTICA, THE UTICA MUNICIPAL HOUSING AUTHORITY (UMHA) WAS CREATED PURSUANT TO NEW YORK STATE PUBLIC HOUSING LAW AND THE UNITED STATES HOUSING ACT OF 1937. IT IS A PUBLIC CORPORATION AFFILIATED WITH THE CITY OF UTICA WHICH RECEIVES DIRECT FUNDING FROM THE US DEPARTMENT OF HOUSING & URBAN DEVELOPMENT TO OPERATE PUBLIC HOUSING, AS WELL AS HOUSING CHOICE VOUCHER PROGRAMS.

THE UMHA OWNS AND OPERATES 893 PUBLIC HOUSING AND SUBSIDIZED UNITS AND IS AN ADMINISTRATOR OF A HOUSING CHOICE RENTAL ASSISTANCE PROGRAM.

ACTIONS PLANNED DURING THE NEXT YEAR TO ADDRESS THE NEEDS TO PUBLIC HOUSING

HUD STRATEGIC GOAL: INCREASE AVAILABILITY OF DECENT, SAFE, AND AFFORDABLE HOUSING.

PHA GOAL 1: CONVERT SECTION 9 PUBLIC HOUSING INVENTORY TO RENTAL ASSISTANCE DEMONSTRATION PROGRAM

1. CONDUCT PHYSICAL NEEDS ASSESSMENT OF PHA UNITS TO DETERMINE CAPITAL NEEDS
2. DEVELOP ARCHITECTURAL PLANS BASED UPON THE PNA RESULTS, RESIDENT, STAFF, AND COMMUNITY INPUT
3. SUBMIT PROPOSALS TO NYS HCR, HUD, CITY OF UTICA, FEDERAL HOME LOAN BANK, AND OTHER FUNDERS TO FINANCE IMPROVEMENTS FOR PHA PROPERTIES
4. REVISE PROGRAMS, POLICIES, AND PROCEDURES TO ENSURE CONSISTENCE WITH SECTION 8 AND TAX CREDIT REGULATIONS
5. SCHEDULE CONSTRUCTION TO MINIMIZE RELOCATION AND DISRUPTION OF RESIDENTS
6. COORDINATE CONSTRUCTION ACTIVITIES WITH LEAD GRANTS FOR GILLMORE VILLAGE/HUMPHREY GARDENS AND ADREAN TERRACE, N.D. PETERS MANOR, AND F.X. MATT APARTMENTS
7. PROVIDE RELOCATION SERVICES AND BENEFITS CONSISTENT WITH THE UNIFORM RELOCATION ACT
8. PROVIDE TRAINING TO STAFF, RESIDENTS, AND BOARD MEMBERS ON RAD CONVERSION PROCESS
9. REVISE DOCUMENTS/POLICIES TO ENSURE CONFORMANCE WITH LIHTC AND SECTION 8 RULES

EXPAND SUPPLY OF ASSISTED HOUSING

1. MAINTAIN HIGH OCCUPANCY LEVELS OF PUBLIC HOUSING/RAD UNITS
2. LEVERAGE PRIVATE/PUBLIC FUNDS TO CREATE ADDITIONAL HOUSING OPPORTUNITIES

PHA GOAL 2: IMPROVE QUALITY OF ASSISTED HOUSING

1. ENHANCE PHA MANAGEMENT
2. IMPROVE RESIDENT SATISFACTION
3. EFFORTS TO IMPROVE MANAGEMENT FUNCTIONS
4. MODERNIZE PUBLIC HOUSING UNITS
5. USE TECHNOLOGY TO IMPROVE DELIVERY OF CORE BUSINESS FUNCTIONS

PHA GOAL 3: INCREASE ASSISTED HOUSING CHOICES

1. CONTINUE TO CONDUCT OUTREACH EFFORTS TO POTENTIAL VOUCHER LANDLORDS.
2. ONE-STOP COMMUNITY HOUSING COUNSELING AND REFERRAL SERVICE TO HELP RESIDENTS TO ACCESS AFFORDABLE HOUSING
3. INCREASE THE VOUCHER LEASE-UP RATE FOR HOUSING CHOICE VOUCHER PROGRAM
4. USE PROJECT-BASED VOUCHERS TO ASSIST TO DEVELOP NEW HOUSING CHOICES
5. EXPAND THE JURISDICTION OF THE UMHA HCV PROGRAM TO ONEIDA COUNTY TO PROMOTE HOUSING CHOICE
6. IMPLEMENT MAINSTREAM VOUCHER FUNDING PROGRAM FOR HOUSING VULNERABLE/HOMELESS NON-ELDERLY DISABLED
7. APPLY FOR FOSTER YOUTH TO INDEPENDENCE VOUCHERS

HUD STRATEGIC GOAL: IMPROVE COMMUNITY QUALITY OF LIFE AND ECONOMIC VITALITY

PHA GOAL 4: CONTINUE IMPLEMENTING SECURITY IMPROVEMENTS

HUD STRATEGIC GOAL: PROMOTE SELF-SUFFICIENCY AND ASSET DEVELOPMENT OF FAMILIES AND INDIVIDUALS

PHA GOAL 5: PROMOTE SELF-SUFFICIENCY AND ASSET DEVELOPMENT OF ASSISTED HOUSEHOLDS

1. INCREASE NUMBER OF EMPLOYED PERSONS IN ASSISTED FAMILIES AND EXPAND ACCESS OF RESIDENTS TO EDUCATION AND JOB TRAINING PROGRAMS
2. IDENTIFY SUPPORTIVE SERVICES TO INCREASE INDEPENDENCE
3. CONTINUE TO PROVIDE SERVICE COORDINATION
4. IMPLEMENT HEALTH EDUCATION PROGRAMS
5. MAINTAIN AND EXPAND RESIDENT SERVICE PROGRAMS

HUD STRATEGIC GOAL 6: ENSURE EQUAL OPPORTUNITY IN HOUSING

1. CONTINUE IMPLEMENTATION OF SECTION 504, ADA, AND THE FAIR HOUSING ACT
2. CONTINUE DOMESTIC VIOLENCE POLICY AND PROCEDURES
3. CONDUCT REQUIRED TRAINING ON FAIR HOUSING FOR STAFF
4. CONTINUE DISSEMINATING INFORMATION TO COMMUNITY THROUGH VARIOUS MATERIALS AND SEMINARS

ACTIONS TO ENCOURAGE PUBLIC HOUSING RESIDENTS TO BECOME MORE INVOLVED IN MANAGEMENT AND PARTICIPATE IN

HOMEOWNERSHIP

DURING THE LAST FIVE YEARS, THE UMHA MADE SIGNIFICANT PROGRESS TO EMPOWER RESIDENTS:

- ON BEHALF OF ITS RESIDENT ASSOCIATIONS, THE UMHA SUBMITTED FUNDING APPLICATIONS FOR THE ADREAN-MATT RESIDENT ASSOCIATION AND THE GILLMORE-HUMPHREY RESIDENT ASSOCIATION TO RENEW THEIR ROSS GRANTS;
- LEADERSHIP TRAINING HAS BEEN PROVIDED TO RESIDENT ASSOCIATIONS TO HELP THEM RUN MEETINGS, COMPLY WITH NEW YORK STATE NOT FOR PROFIT CORPORATION LAWS, AND CONDUCT THEIR OWN FUND DEVELOPMENT ACTIVITIES;
- PROVIDED TRAINING THROUGH LEGAL SERVICES OF CENTRAL NEW YORK ON TENANT RIGHTS AND RESPONSIBILITIES;
- CREATED TENANT ASSOCIATION NEWSLETTERS TO COMMUNICATE INFORMATION REGARDING COMMUNITY PROGRAMS AND SERVICES;
- IN COOPERATION WITH THE NEIGHBORHOOD CENTER, THE UMHA CONTINUES TO IMPLEMENT THE NATIONALLY VALIDATED CIRCLES PROGRAM BUILD RESIDENT SELF-HELP AND RESILIENCY SKILLS.
- COMMUNITY BUILDING ACTIVITIES HAVE BEEN HELD SUCH AS OUTDOOR MOVIE NIGHTS, FESTIVALS, AND OTHER EVENTS TO ENGAGE RESIDENTS WITH EACH OTHER AND THE GREATER COMMUNITY.
- UNDER THE PROJECT-BASED RENTAL ASSISTANCE REGULATIONS GOVERNING RAD TRANSACTIONS, UMHA TENANTS WILL BE PROVIDED STRONGER PROTECTIONS TO ORGANIZE RESIDENT ORGANIZATIONS AS WELL AS USE TENANT PARTICIPATION FUNDING.
- BASED UPON ANNUAL/FIVE YEAR PLAN MEETINGS WITH RESIDENTS, THE UMHA WILL EXPLORE THE FEASIBILITY OF THE IMPLEMENTATION OF THE FOLLOWING RESIDENT ENGAGEMENT ACTIVITIES DURING THE NEXT FIVE YEARS:
 - NEIGHBORHOOD WATCH,
 - RESIDENT LED EVENTS TO CELEBRATE NEIGHBORHOODS, DIVERSITY, AND SAFETY,
 - SOCIAL AND RECREATIONAL EVENTS TO BUILD NEIGHBORHOOD COHESION,
 - LEADERSHIP TRAINING IN RESIDENT EMPOWERMENT,
 - PURCHASE A VAN TO TRANSPORT RESIDENTS TO EVENTS AND GROCERY STORES,
 - INCREASING THE USE OF TRANSLATORS AND INTERPRETERS TO FACILITATE COMMUNICATION WITH LIMITED ENGLISH PROFICIENT INDIVIDUALS.

AT THIS TIME, THE UMHA DOES NOT ANTICIPATE OPERATING A HOMEOWNERSHIP PRODUCTION PROGRAM. THROUGH ITS

AMERICORPS FUNDED HOUSING OPPORTUNITY CENTER AND FAMILY SELF-SUFFICIENCY PROGRAMS, THE HOUSING AUTHORITY HELPS PUBLIC HOUSING RESIDENTS AND LOW-INCOME HOUSEHOLDS TO ACCESS HOMEOWNERSHIP TRAINING AND PURCHASE PROGRAMS. WE PROVIDE PRE-HOMEOWNERSHIP COUNSELING AND REFERRALS AND WORKS CLOSELY WITH THE HOMEOWNERSHIP CENTER IN UTICA TO PROVIDE FINANCIAL EMPOWERMENT COUNSELING AND HOMEOWNERSHIP EDUCATION.

IF THE PHA IS DESIGNATED AS TROUBLED, DESCRIBE THE MANNER IN WHICH FINANCIAL ASSISTANCE WILL BE PROVIDED OR OTHER ASSISTANCE

NOT APPLICABLE.

DISCUSSION

AP-65 HOMELESS AND OTHER SPECIAL NEEDS ACTIVITIES – 91.220(i)

INTRODUCTION

THE CITY OF UTICA PROVIDES FUNDING FOR VARIOUS HOMELESS SERVICES. LISTED BELOW ARE THE AGENCIES WE ARE CURRENTLY FUNDING.

DESCRIBE THE JURISDICTIONS ONE-YEAR GOALS AND ACTIONS FOR REDUCING AND ENDING HOMELESSNESS INCLUDING REACHING OUT TO HOMELESS PERSONS (ESPECIALLY UNSHELTERED PERSONS) AND ASSESSING THEIR INDIVIDUAL NEEDS

WITH THE HELP OF THE CONTINUUM OF CARE, EFFORTS TO IDENTIFY AND ENGAGE PERSONS WHO ROUTINELY SLEEP ON THE STREETS OR IN OTHER PLACES NOT MEANT FOR HUMAN HABITATION CENTER ON TARGETED OUTREACH TO POPULAR SOUP KITCHENS AND FOOD PANTRIES THAT ARE FREQUENTED BY OUR “STREET” HOMELESS”. THESE FAINT-BASED SOUP KITCHENS (THREE OF THEM) ARE ALL WELL-KNOWN AND VERY HOMELESS FRIENDLY AND DO NOT COLLECT INFORMATION FROM THOSE EATING THERE OR HAVE ANY OTHER REQUIREMENTS THAT WOULD POSE A BARRIER TO HOMELESS PERSONS AND FAMILIES NOT WISHING TO BE IDENTIFIED.

ADDRESSING THE EMERGENCY SHELTER AND TRANSITIONAL HOUSING NEEDS OF HOMELESS PERSONS

IN 2020-2021, THE CITY OF UTICA PLANS TO ALLOCATE \$221,299 IN EMERGENCY SOLUTIONS GRANT FUNDING FOR EIGHT (8) PROGRAMS ADMINISTERED BY SIX (6) SUB-RECIPIENT AGENCIES. THE PROGRAMS WILL ASSIST HOMELESS PERSONS AND FAMILIES AND THOSE AT IMMINENT RISK OF BECOMING HOMELESS. GIVEN THE VERY NOMINAL AMOUNT OF FUNDING THAT THE CITY RECEIVES, SPREAD AMONG SIX DIFFERENT PROGRAMS WHICH WILL ADDRESS THE NEEDS OF CHRONICALLY HOMELESS INDIVIDUALS AND FAMILIES, FAMILIES WITH CHILDREN, VETERANS AND THEIR FAMILIES, AND UNACCOMPANIED YOUTH.

FOLLOWING A SUBSTANTIAL AMENDMENT IN APRIL OF 2021, AN ADDITIONAL \$140,084 IN PRIOR-YEAR ESG FUNDS ARE BEING ALLOCATED TO 2020-2021 ESG PROGRAMS.

THE PROGRAMS/ACTIVITIES TO BE FUNDED WITH THE CITY'S ESG ENTITLEMENT INCLUDE:

- YWCA (\$50,000) TO OPERATE THE HALL HOUSE SHELTER FOR FEMALE VICTIMS OF DOMESTIC VIOLENCE AND THEIR CHILDREN.
- JOHNSON PARK CENTER (\$52,400) TO CONTINUE FUNDING FOR THE EMERGENCY/TRANSITIONAL HOUSING PROGRAM FOR FEMALES WHO MAY HAVE BEEN EX-OFFENDERS OR SUBSTANCE ABUSERS AND THE CHRONICALLY HOMELESS, AS WELL AS CONDUCT EMERGENCY REPAIRS ON THE SHELTER FOUNDATION AND PORCH COLUMNS.
- RESCUE MISSION OF UTICA (\$25,000) TO OPERATE A MEN'S SHELTER.
- ICAN (\$60,478) FOR THEIR EVELYN'S HOUSE TO EXPAND OPERATIONS OF THEIR 7-BED SHELTER FOR PREGNANT AND PARENTING TEENAGE MOTHERS WITH A RAPID REHOUSING COMPONENT (THIS GRANT INCLUDES \$57,481 OF FY2016/17/18 FUNDS THAT HAVE BEEN RE-ALLOCATED). THIS COMPONENT OF THE CITY OF UTICA'S EMERGENCY SOLUTIONS GRANT COMPLIES WITH THE MINIMUM 40% RAPID-REHOUSING REQUIREMENT.
- UTICA MUNICIPAL HOUSING AUTHORITY (\$84,832) TO OPERATE THE RAPID-REHOUSING AND (\$34,943) TO OPERATE THE HOMELESS OUTREACH SERVICES PORTION OF THE PROGRAM AND PURCHASE A REPLACEMENT TRANSPORT VEHICLE. THIS COMPONENT OF THE CITY OF UTICA'S EMERGENCY SOLUTIONS GRANT COMPLIES WITH THE MINIMUM 40% RAPID-REHOUSING REQUIREMENT.
- UTICA CENTER FOR DEVELOPMENT (\$8,000) TO OPERATE THEIR RAPID RE-HOUSING PROGRAM AND (\$14,000) TO

OPERATE THEIR HOMELESS PREVENTION SERVICES PORTION OF THE PROGRAM. THIS COMPONENT OF THE CITY OF UTICA'S EMERGENCY SOLUTIONS GRANT COMPLIES WITH THE MINIMUM 40% RAPID-REHOUSING REQUIREMENT.

HELPING HOMELESS PERSONS (ESPECIALLY CHRONICALLY HOMELESS INDIVIDUALS AND FAMILIES, FAMILIES WITH CHILDREN, VETERANS AND THEIR FAMILIES, AND UNACCOMPANIED YOUTH) MAKE THE TRANSITION TO PERMANENT HOUSING AND INDEPENDENT LIVING, INCLUDING SHORTENING THE PERIOD OF TIME THAT INDIVIDUALS AND FAMILIES EXPERIENCE HOMELESSNESS, FACILITATING ACCESS FOR HOMELESS INDIVIDUALS AND FAMILIES TO AFFORDABLE HOUSING UNITS, AND PREVENTING INDIVIDUALS AND FAMILIES WHO WERE RECENTLY HOMELESS FROM BECOMING HOMELESS AGAIN

RETURNS TO HOMELESSNESS IN OUR CoC ARE ADDRESSED USING THREE DIFFERENT STRATEGIES. FIRST, OUR CoC PROVIDERS HAVE FOCUSED ON INCREASING HOUSING STABILITY FOR THE OVER 500 HOMELESS PERSONS AND FAMILIES RESIDING IN OUR PSH PROGRAMS. USING NY STATE FUNDS COMBINED WITH OUR ONLY HUD-FUNDED SUPPORT SERVICE ONLY PROGRAM WE ARE ABLE TO PROVIDE A HIGH LEVEL OF CASE MANAGEMENT AND OTHER SUPPORT SERVICES TO FORMERLY HOMELESS RESIDENTS WITH THE RESULT THAT OUR CoC HAS A 90% HOUSING STABILITY RATE, WELL ABOVE THE HUD TARGET FOR THIS OBJECTIVE. THE SECOND SET OF STEPS OUR CoC HAS TAKEN TO REDUCE RETURNS TO HOMELESSNESS CENTER ON PROVIDING CASE MANAGEMENT TO PERSONS AND FAMILIES IN OUR RAPID RE-HOUSING PROGRAMS ALONG WITH FOLLOW-UP AFTER CASES ARE CLOSED. FINALLY, OUR CoC HAS DEVELOPED SUPPORTIVE HOUSING PROGRAMS FOR THOSE WHO NEED MORE INTENSIVE AND TARGETED SUPPORT- INCLUDING LIFE SKILLS TRAINING CRAFTED TO THEIR UNIQUE NEEDS- TO BECOME STABLE IN BOTH THEIR HOUSING AND IN OUR COMMUNITY. WE HAVE SPECIALIZED PROGRAMS FOR HOMELESS MALE AND FEMALE YOUTH, PREGNANT AND PARENTING YOUTH, DV VICTIMS AND THEIR FAMILIES, PERSONS WITH A MENTAL HEALTH AND ADDICTION DISABILITY TO MEET THIS NEED.

HELPING LOW-INCOME INDIVIDUALS AND FAMILIES AVOID BECOMING HOMELESS, ESPECIALLY EXTREMELY LOW-INCOME INDIVIDUALS AND FAMILIES AND THOSE WHO ARE: BEING DISCHARGED FROM PUBLICLY FUNDED INSTITUTIONS AND SYSTEMS OF CARE (SUCH AS HEALTH CARE FACILITIES, MENTAL HEALTH FACILITIES, FOSTER CARE AND OTHER YOUTH FACILITIES, AND CORRECTIONS PROGRAMS AND INSTITUTIONS); OR, RECEIVING ASSISTANCE FROM PUBLIC OR PRIVATE AGENCIES THAT ADDRESS HOUSING, HEALTH, SOCIAL SERVICES, EMPLOYMENT, EDUCATION, OR YOUTH NEEDS

FOSTER CARE (YOUTH AGING OUT)

ONEIDA COUNTY DSS DISCHARGE PLANNING PROTOCOL FOR YOUTHS LEAVING THE FOSTER CARE SYSTEM REQUIRES THE IDENTIFICATION OF ANY COMMUNITY AND/OR FAMILY RESOURCES FOR SAID YOUTHS. FOR YOUTHS BEING DISCHARGED TO A RELATIVE OR OTHER CARETAKER, DSS REVIEWS THE SAFETY OF THE HOME IN WHICH THE YOUTH IS TO BE DISCHARGED, IDENTIFIES SOURCES OF INCOME FOR THE CARETAKER(S), ASSESSES THE NEEDS OF THE YOUTH AFTER DISCHARGE, AND IDENTIFIES AVAILABLE RESOURCES REGARDING THESE NEEDS. FOR DISCHARGES INTO INDEPENDENT LIVING, THE COUNTY ENSURES THAT THE YOUTH IS DISCHARGED INTO AN APPROPRIATE RESIDENCE. ONEIDA COUNTY NOW HAS ACCESS TO CoC-DEVELOPED TRANSITIONAL HOUSING PROGRAMS FOR BOTH SINGLE AND PARENTING FEMALE YOUTH AGE 16-21. IF AN APPROPRIATE RESIDENCE IS UNAVAILABLE, THE YOUTH IS REFERRED FOR PREVENTIVE HOUSING SERVICES. THE COUNTY ALSO IDENTIFIES SOURCES OF INCOME AND OTHER SUPPORT RESOURCES FOR THE YOUTH UPON DISCHARGE. THE COUNTY ALSO PERFORMS AN ASSESSMENT OF YOUTH SAFETY AND NEEDS UPON DISCHARGE. AVAILABLE SERVICES ARE IDENTIFIED BASED ON IDENTIFICATION OF NEEDS.

HEALTH CARE

THERE ARE THREE HOSPITALS IN THE CoC. ALL THREE HOSPITALS ARE JCAHO ACCREDITED AND IN COMPLIANCE WITH ACCREDITATION STANDARDS THEY EMPLOY SOCIAL WORK STAFF TO PREVENT HOMELESS DISCHARGE. THE REMOVAL OF CRISIS SERVICE WORKERS FROM WORKING ON SITE IN HOSPITAL EMERGENCY ROOMS IN 2009 LED DIRECTLY TO THE HIRING OF NEW HOSPITAL-BASED SOCIAL WORKERS WHO HAVE ADDED CAPACITY TO PREVENT HOMELESSNESS UPON DISCHARGE FROM THE ER. THESE HOSPITALS PARTICIPATE ACTIVELY IN THE NEW YORK STATE ASPOAA PROCESS TO ENSURE THAT THOSE WITH A SERIOUS MENTAL HEALTH DISABILITY HAVE HOUSING WHEN DISCHARGED.

MENTAL HEALTH

NEW YORK STATE ASPOA/A. HOSPITALS WITH INPATIENT PSYCHIATRIC UNITS ARE REQUIRED TO PREPARE A WRITTEN SERVICE PLAN FOR ALL PATIENTS ABOUT TO BE DISCHARGED. THE TREATMENT PLAN MUST INCLUDE SUPERVISION, MEDICATION, AND AFTERCARE SERVICES. THE ONEIDA COUNTY DEPARTMENT OF MENTAL HEALTH MONITORS CONCERNS AND ISSUES RELATED TO DISCHARGE PLANNING IN TWO WAYS. THE FIRST IS THAT THE COUNTY MONITORS DISCHARGE PLANNING THROUGH THE WEEKLY ASPOA/A PROCESS THAT IS COORDINATED BY THE ONEIDA COUNTY DEPARTMENT OF MENTAL HEALTH. WHEN INDIVIDUALS ARE NEARING DISCHARGE, SERVICE NEEDS AND RESOURCES ARE DISCUSSED AT ASPOA/A AND A DISCHARGE PLAN WITH A HOUSING COMPONENT IS FORMULATED FOR HIGH-RISK, HIGH-NEED SITUATIONS. THE SECOND WAY THAT THE DEPARTMENT OF MENTAL HEALTH REVIEWS AND MONITORS DISCHARGE CONCERNS IS THROUGH ANNUAL LICENSE REVIEWS OF CLINICAL AND CASE MANAGEMENT PROGRAMS DONE IN COLLABORATION WITH THE NEW YORK STATE OFFICE OF MENTAL HEALTH. ASPOA/A POLICIES HAVE BEEN IN PLACE SINCE 2004.

CORRECTIONS

NEW YORK STATE DOP STAFF MEMBERS WORK WITHIN STATE CORRECTIONAL FACILITIES TO ADMINISTER PRE-RELEASE APPLICATIONS AND NEEDS ASSESSMENTS FOR INMATE DISCHARGE. INMATES WITH MENTAL HEALTH IMPAIRMENTS AND/OR DEVELOPMENTAL DISABILITIES ARE REFERRED FOR CASE MANAGEMENT TO THE OMH AND/OR THE OMRDD. PAROLE PERSONNEL ALSO PROVIDE DIRECT REFERRALS TO COMMUNITY-BASED PROVIDERS WHEN FOLLOW-UP CARE, TREATMENT NEEDS, OR HOUSING PROBLEMS ARE INDICATED. DEPENDING ON THE CASE, PAROLE FIELD STAFF MAY BE INVOLVED WITH SOME OFFENDERS AFTER DISCHARGE. BEGINNING IN 2006, ONEIDA COUNTY DEVELOPED A PRISONER REENTRY TASK FORCE WITH A FULL-TIME COORDINATOR/CASE MANAGER WHO WORKS IN CONJUNCTION WITH THE UTICA PAROLE OFFICE TO IDENTIFY INDIVIDUALS WHO WILL BE RELEASED TO ONEIDA COUNTY WITHIN 90 DAYS, SEND INFORMATION TO THESE INDIVIDUALS PRIOR TO DISCHARGE, AND WORK ONE-ON-ONE WITH RELEASED PRISONERS TO MAKE SURE THEY HAVE HOUSING WHEN RELEASED AND THAT OTHER SERVICE NEEDS ARE MET. THE REENTRY TASK FORCE HAS DEDICATED FUNDS TO PREVENT HOMELESSNESS.

DISCUSSION

AP-75 BARRIERS TO AFFORDABLE HOUSING – 91.220(j)

INTRODUCTION:

AS PUBLICATIONS ON THE HUD EXCHANGE WEBSITE ([HTTPS://WWW.HUDUSER.GOV/PORTAL/TAXONOMY/TERM/32](https://www.huduser.gov/portal/taxonomy/term/32)) SHOW, COST BURDENED FAMILIES ARE DEFINED AS THOSE WHO PAY MORE THAN 30 PERCENT OF THEIR INCOME FOR HOUSING. SUCH FAMILIES THEN HAVE DIFFICULTY WITH BEING ABLE TO AFFORD OTHER NECESSITIES SUCH AS FOOD, CLOTHING, TRANSPORTATION AND MEDICAL CARE. THE 2019-2020 ACTION PLAN REFERENCED THE 2015 AMERICAN COMMUNITY SURVEY (ACS) DATA THAT STATED NEARLY 70% OF THE HOUSEHOLDS THAT PAY RENT FOR THEIR HOMES HAD A HOUSEHOLD INCOME OF LESS THAN \$35,000 (THE NEXT CENSUS SURVEY WILL BE TAKEN IN 2020). OF THOSE HOUSEHOLDS, 51% ARE CONSIDERED TO BE HOUSING COST BURDENED. ADDITIONALLY, ALMOST EXACTLY ONE-THIRD OF ALL HOMEOWNERS IN THE CITY OF UTICA HAVE A TOTAL HOUSEHOLD INCOME OF LESS THAN \$35,000. OF THOSE HOMEOWNERS, HOWEVER, ALMOST 19% ARE CONSIDERED TO BE HOUSING COST BURDENED. WITH THE 2020 DECENNIAL CENSUS TAKING PLACE DURING THE 2020-2021 PROGRAM YEAR, WE DO NOT ANTICIPATE A SIGNIFICANT CHANGE IN THESE STATISTICS. WHILE THE GENERAL ECONOMY HAS IMPROVED, THERE HAS BEEN NO MAJOR INCREASE IN HIGHER-PAYING JOBS IN THE REGION. INTEREST RATES, AFTER STABILIZING AROUND 2.25% IN 2019, HAVE BEGUN FALLING TO UNDER 1.5%. INFLATION IS PROJECTED TO INCREASE 2.73% IN 2020 FROM 2019 LEVELS, BUT THE COST OF LIVING ADJUSTMENT (COLA) INCREASED A MEAGER 1.6% IN 2020 AFTER A 2.8% INCREASE IN 2019 (WITH PROJECTED MEDICARE COST INCREASES LIKELY TO CONSUME THE INCREASE IN BENEFITS). AS THE COST OF LIVING INCREASES HAVE BARELY KEPT UP WITH THE RATE OF INFLATION OR INCREASE IN THE INTEREST RATE, THE COSTS OF AFFORDING REASONABLE HOUSING (EITHER PURCHASED OR RENTAL) WILL NOT IMPROVE UNLESS CONTINUED ACTION IS TAKEN BY THE CITY AND ITS VARIOUS PARTNERSHIPS.

ACTIONS IT PLANNED TO REMOVE OR AMELIORATE THE NEGATIVE EFFECTS OF PUBLIC POLICIES THAT SERVE AS BARRIERS TO AFFORDABLE HOUSING SUCH AS LAND USE CONTROLS, TAX POLICIES AFFECTING LAND, ZONING ORDINANCES, BUILDING CODES, FEES AND CHARGES, GROWTH LIMITATIONS, AND POLICIES AFFECTING THE RETURN ON RESIDENTIAL INVESTMENT

AFTER HAVING SECURED THE LOCAL INITIATIVES SUPPORT CORPORATION (LISC) GRANT IN 2018-2019 AND A SECOND ROUND IN 2019-2020, THE CITY HAS WORKED WITH RUST2GREEN AND THE CITY'S RECENTLY-HIRED COMMUNITY DEVELOPMENT SPECIALIST TO UPDATE THE CITY'S GEOGRAPHIC INFORMATION SYSTEM (GIS) TO BETTER UNDERSTAND THE NEEDS OF OUR INFRASTRUCTURE, ENVIRONMENT AND RESIDENTS, AND OUR PARTNERSHIP WITH THE COMMUNITY FOUNDATION OF HERKIMER AND ONEIDA COUNTIES SUCCESSFULLY SECURED A GRANT THROUGH THE GREEN AND HEALTHY HOMES INITIATIVE (GHHI) TO INCREASE THE NUMBER OF HOMES THAT CAN BE REHABILITATED. THE CITY IS CONTINUING TO REWORK THE LAND CONTROLS AND ZONING ORDINANCES THROUGH A NYSERDA CLEANER, GREENER COMMUNITIES PROGRAM GRANT RECEIVED IN PREVIOUS YEARS IN ORDER TO REMOVE BARRIERS THAT RESTRICT DEVELOPMENT FOR LOW-INCOME RESIDENTS. AS STATED IN THE PREVIOUS ANNUAL ACTION PLAN, THE CITY IS ALSO WORKING TO FEATURE MORE WAYS TO ASSIST WITH COMPREHENSION BY THOSE WHO DO NOT SPEAK ENGLISH AS THEIR PRIMARY LANGUAGE CITY EMPLOYEES HAVE ACCESS TO AN INTERPRETER PHONE LINE TO HELP TRANSLATE CALLS WHILE PROVIDING SERVICES. THE UTICA INDUSTRIAL DEVELOPMENT AGENCY CONTINUES TO STREAMLINE THE PROCESS FOR AFFORDABLE HOUSING PROJECTS TO OBTAIN PAYMENT IN LIEU OF TAXES (PILOT) AGREEMENTS. PREVIOUSLY, DEVELOPERS NEEDED TO GO THROUGH THE COMMON COUNCIL FOR APPROVAL PRIOR TO NEGOTIATIONS WITH CITY DEPARTMENTS.

DISCUSSION:

AP-85 OTHER ACTIONS – 91.220(k)

INTRODUCTION:

ACTIONS PLANNED TO ADDRESS OBSTACLES TO MEETING UNDERSERVED NEEDS

IN A PERFECT WORLD, SUFFICIENT FUNDS FROM THE PRIVATE SECTOR COMBINED WITH LOCAL, STATE AND FEDERAL GOVERNMENTS WOULD BE AVAILABLE TO MEET ALL OF THE UNDERSERVED NEEDS OF ALL PEOPLE. UNFORTUNATELY, THAT IS NOT THE CASE . . . AND THE CORONAVIRUS PANDEMIC WILL LIKELY ONLY EXACERBATE THIS PROBLEM.

AS SUCH, THE CITY OF UTICA ATTEMPTS EVERY YEAR TO ADDRESS THE MOST CRITICAL NEEDS FOR THE GREATEST NUMBER OF ITS RESIDENTS. THE FIRST STEP IN THAT PROCESS IS TO UNDERTAKE A COMPREHENSIVE PLANNING PROCESS, ENSURED BY THE NEED TO DRAFT AND SUBMIT A FIVE-YEAR CONSOLIDATED PLAN AND AN ANNUAL ACTION PLAN. THE SECOND STEP IN THAT PROCESS IS TO ENSURE MAXIMUM COMMUNITY INPUT INTO BOTH PLANS, SO THAT THE DEPTH AND BREADTH OF ISSUES AMONG THE COMMUNITY ARE FULLY IDENTIFIED AND QUANTIFIED BY CITY STAFF. THE THIRD STEP IN THE PROCESS IS TO ALLOCATE THE LIMITED FEDERAL ENTITLEMENT FUNDS TO ENSURE MAXIMUM IMPACT EVERY YEAR. THE FOURTH STEP IN THE PROCESS IS TO CONSTANTLY MONITOR THE EXPENDITURE OF FUNDS, THEREBY ENSURING THAT EACH DOLLAR IS APPROPRIATELY EXPENDED AND THAT THE ANTICIPATED OUTCOME IS ACHIEVED; SUCH MONITORING ALSO ALLOWS THE CITY THE ABILITY TO RE-ALLOCATE FUNDS THAT MAY NOT BE EXPENDED IN A TIMELY ENOUGH MANNER TO MORE PRESSING NEEDS.

ACTIONS PLANNED TO FOSTER AND MAINTAIN AFFORDABLE HOUSING

THE PERIOD COVERED BY THE PREVIOUS CONSOLIDATED PLAN (2015 – 2019) REPRESENTED ONE OF THE MOST PROLIFIC PERIODS IN THE CITY’S HISTORY RELATIVE TO DEVELOPMENT, INCLUDING THE CONSTRUCTION OR REHABILITATION OF AFFORDABLE HOUSING. FURTHERMORE, THE PROJECTS ARE SPREAD THROUGHOUT VIRTUALLY EVERY NEIGHBORHOOD OF THE CITY, RATHER THAN BEING CONCENTRATED IN JUST ONE AREA.

THE CITY OF UTICA HAS SUPPORTED EACH AND EVERY ONE OF THESE CURRENT PROJECTS. IF AVAILABLE, CDBG OR HOME MONIES ARE COMMITTED TO VARIOUS PROJECTS AS JUST A SMALL MATCH AND A SIGN OF THE CITY’S COMMITMENT TO AFFORDABLE HOUSING. THE CITY’S INDUSTRIAL DEVELOPMENT AGENCY HAS ALSO PROVIDED PAYMENT-IN-LIEU-OF-TAXES (PILOT) AGREEMENTS, OFTEN EXTENDING THE TERMS TO MATCH THE TERMS OF OTHER STATE FUNDING TERMS. IN ADDITION, THOSE PILOT AGREEMENTS ALSO USUALLY PROVIDE AN EXEMPTION FROM THE MORTGAGE RECORDING TAX AND AN EXEMPTION FROM THE SALES TAX FOR BUILDING MATERIALS, BOTH OF WHICH CAN BE SIGNIFICANT IN LARGE, MULTI-MILLION DOLLAR PROJECTS. THESE COMMITMENTS TO AFFORDABLE HOUSING WILL CONTINUE.

FINALLY, IN MANY INSTANCES, PARTICULARLY IN THOSE DEVELOPMENTS INVOLVING SUBSTANTIAL NEW CONSTRUCTION, THE CITY HAS BEEN ABLE TO USE CDBG FUNDS TO IMPROVE THE SURROUNDING NEIGHBORHOOD. FOLLOWING CONSTRUCTION, THE CITY WILL COME THROUGH WITH RECONSTRUCTED STREETS, NEW SIDEWALKS, IMPROVED STREET LIGHTS, OR STREET TREES/LANDSCAPING.

ACTIONS PLANNED TO REDUCE LEAD-BASED PAINT HAZARDS

THE CITY OF UTICA CONTINUES TO BE AN ACTIVE AND PARTICIPATING MEMBER OF THE LEAD-FREE MV COALITION, ESTABLISHED BY THE COMMUNITY FOUNDATION OF HERKIMER & ONEIDA COUNTIES, INC. ACCORDING TO THE COALITION’S WEB PAGE ([HTTP://FOUNDATIONHOC.ORG/LEAD-FREE-MV/](http://FOUNDATIONHOC.ORG/LEAD-FREE-MV/)), THE COALITION FOCUSES ON THE ELIMINATION OF LEAD HAZARDS IN PRE-1978 HOUSING, AS WELL AS EXPANDING TESTING AND COMMUNITY AWARENESS OF THE PROBLEM. THE COALITION’S EFFORTS WILL RANGE FROM DIRECT OUTREACH AND EDUCATION TO STRENGTHENING LEGISLATION RELATED TO

PROPERTY MAINTENANCE. COALITION MEMBERS REPRESENT PUBLIC HEALTH, LOCAL GOVERNMENT (INCLUDING THE CITY OF UTICA), LEGAL, INSURANCE, HEALTHCARE, EDUCATION, CHILD CARE, CONSTRUCTION AND SUPPORT SERVICE CONSTITUENCIES.

IN DECEMBER OF 2018, HUD ANNOUNCED THAT UTICA WAS AWARDED \$3.5 MILLION FOR LEAD REMOVAL IN 180 PRE-1978 HOMES WHERE CHILDREN UNDER 6 SPEND A SIGNIFICANT AMOUNT OF TIME. THE GRANT WILL LARGELY BENEFIT LOW-INCOME FAMILIES AND HOMEOWNERS.

ACTIONS PLANNED TO REDUCE THE NUMBER OF POVERTY-LEVEL FAMILIES

IN 2017, THE CITY OF UTICA WAS AWARDED \$1.5 MILLION IN FUNDING MADE AVAILABLE BY GOVERNOR CUOMO AS PART OF HIS EMPIRE STATE POVERTY REDUCTION INITIATIVE (ESPRI). AT THAT TIME, THE CITY DESIGNATED THE LOCAL BRANCH OF THE UNITED WAY AS ITS CONTRACTING PARTNER WITH THE STATE'S OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE. AS SUCH, ALL STAFFING, CONTRACTING AND ADMINISTRATIVE RESPONSIBILITIES RELATIVE TO THE \$1.5 MILLION GRANT FELL TO THE UNITED WAY, RATHER THAN THE CITY OF UTICA. HOWEVER, CITY STAFF WAS HEAVILY INVOLVED IN THE PLANNING PROCESS THAT HAD OCCURRED, INCLUDING THE MAYOR AND THE COMMISSIONER OF URBAN & ECONOMIC DEVELOPMENT. IN 2017-2018, OVER A DOZEN FOCUS GROUP MEETINGS WERE HELD WHICH INVOLVED 280 PARTICIPANTS ALONG WITH ONE-ON-ONE SURVEYS CONDUCTED WITH 195 INDIVIDUALS. A TOWN HALL-STYLE MEETING WAS HELD IN EARLY 2018 THAT DETERMINED THAT INCREASING DAYCARE OPTIONS WAS THE TOP PRIORITY IN FIGHTING FAMILY POVERTY.

IN THE TWO YEARS SINCE THAT TOWN HALL-STYLE MEETING, THE UNITED WAY HAS BEEN SELECTING A LOCATION FOR THE EXTENDED CHILD CARE CENTER AND SECURING FUNDS FOR REHABILITATION OF THE SPACE AND PUTTING THE NECESSARY ADMINISTRATIVE CONSTRUCT IN PLACE TO MANAGE OPERATIONS OF THE CENTER. THROUGH THE STATE'S CONSOLIDATED FUNDING APPLICATION (CFA) ROUNDS, THE EXTENDED CHILD CARE CENTER RECEIVED A GRANT AWARD OF \$100,000 IN THE 2018 ROUND FOR THE IMPLEMENTATION OF THE CENTER'S PLANS. ADDITIONALLY, THE CITY AWARDED \$55,000 IN CDBG FUNDS IN THE LAST PROGRAM YEAR TO ASSIST IN GETTING THE CENTER UP AND RUNNING. AS NOTED IN EARLIER SECTIONS OF THIS PLAN, THE CITY HAS ALLOCATED AN ADDITIONAL \$50,000 TO SUPPORT ADMINISTRATION OF THE CENTER IN ITS PROPOSED 2020 – 2021 ANNUAL ACTION PLAN.

CONSTRUCTION IS EXPECTED TO BE COMPLETE SOON AND THE INTERVIEWING PROCESS FOR PROVIDERS IS CURRENTLY BEING CONDUCTED WITH A PROPOSED OPENING DATE IN SPRING 2020.

ACTIONS PLANNED TO DEVELOP INSTITUTIONAL STRUCTURE

THE EIGHT STAFF MEMBERS OF THE CITY'S DEPARTMENT OF URBAN & ECONOMIC DEVELOPMENT HAVE EXTENSIVE EXPERIENCE WITH ADMINISTERING CDBG, HOME AND ESG FUNDS. A NUMBER OF THE STAFF MEMBERS HAVE BEEN WITH THE DEPARTMENT FOR CLOSE TO OR EXCEEDING TWENTY YEARS.

THE LATEST ADDITION TO THE DEPARTMENT, DEREK CROSSMAN, WORKS AS A COMMUNITY DEVELOPMENT SPECIALIST. DEREK IS CURRENTLY DEVOTING A SIGNIFICANT AMOUNT OF TIME TO THE STATE'S ZOMBIE GRANT EFFORTS. IN ADDITION, HE IS WORKING TO IMPROVE HIS KNOWLEDGE OF URBAN PLANNING ISSUES BY ENROLLING IN THE MASTER OF URBAN & REGIONAL PLANNING AT THE UNIVERSITY OF ALBANY, WITH THE SUPPORT OF THE DEPARTMENT. GIVEN HIS WORK ON THE ZOMBIE GRANTS, DEREK IS ALSO INVOLVED WITH THE CITY'S HOUSING ACTION COMMITTEE AND HAS ASSISTED WITH THE COORDINATED CITY OF UTICA/THE COMMUNITY FOUNDATION OF HERKIMER & ONEIDA COUNTIES DOWNTOWN VISION PLAN AND THE CITY'S DOWNTOWN REVITALIZATION INITIATIVE. AS A MILLENNIAL, DEREK HAS ALSO

BEEN INSTRUMENTAL IN ENHANCING THE DEPARTMENT'S AND THE CITY'S SOCIAL MEDIA MESSAGING PROGRAM.

ACTIONS PLANNED TO ENHANCE COORDINATION BETWEEN PUBLIC AND PRIVATE HOUSING AND SOCIAL SERVICE AGENCIES

TO MAINTAIN COORDINATION BETWEEN PUBLIC AND PRIVATE HOUSING AND SOCIAL SERVICE AGENCIES, THE CITY WILL CONTINUE TO MAINTAIN A STRONG PRESENCE ON THE COUNTY'S CONTINUUM OF CARE WHICH INVOLVES NUMEROUS HOUSING (PUBLIC AND PRIVATE) AGENCIES AND SOCIAL SERVICE AGENCIES.

ADDITIONALLY, THE CITY'S CONTINUED INVOLVEMENT WITH THE LEAD FREE MV INITIATIVE OF THE COMMUNITY FOUNDATION OF HERKIMER AND ONEIDA COUNTIES AS WELL AS THE GREATER UTICA ANTI-POVERTY INITIATIVE WILL ENHANCE COORDINATION WITH OTHER MEMBER AGENCIES, INCLUDING THOSE IN THE SOCIAL SERVICES. FINALLY, IN THE LAST YEAR, THE CITY HAS ESTABLISHED A HOUSING ACTION COMMITTEE TO ENSURE COORDINATION BETWEEN THE CITY AND ITS VARIOUS HOUSING PARTNERS; MEMBERS OF THE COMMITTEE INCLUDE THE CITY'S UED STAFF, THE CONTINUUM OF CARE, MUNICIPAL HOUSING AUTHORITY, THE CITY'S SECTION 8 PROGRAM, THE GREATER MOHAWK VALLEY LAND BANK, UTICA NEIGHBORHOOD HOUSING SERVICE AND THE COMMUNITY FOUNDATION OF HERKIMER & ONEIDA COUNTIES. THE CITY WILL CONTINUE TO KEEP THAT COMMITTEE ACTIVE THROUGH THE 2020 – 2021 PROGRAM YEAR.

DISCUSSION:

PROGRAM SPECIFIC REQUIREMENTS

AP-90 PROGRAM SPECIFIC REQUIREMENTS – 91.220(l)(1,2,4)

INTRODUCTION:

COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM (CDBG)

REFERENCE 24 CFR 91.220(l)(1)

PROJECTS PLANNED WITH ALL CDBG FUNDS EXPECTED TO BE AVAILABLE DURING THE YEAR ARE IDENTIFIED IN THE PROJECTS TABLE. THE FOLLOWING IDENTIFIES PROGRAM INCOME THAT IS AVAILABLE FOR USE THAT IS INCLUDED IN PROJECTS TO BE CARRIED OUT.

| | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|
| 1. THE TOTAL AMOUNT OF PROGRAM INCOME THAT WILL HAVE BEEN RECEIVED BEFORE THE START OF THE NEXT PROGRAM YEAR AND THAT HAS NOT YET BEEN REPROGRAMMED | 0 |
| 2. THE AMOUNT OF PROCEEDS FROM SECTION 108 LOAN GUARANTEES THAT WILL BE USED DURING THE YEAR TO ADDRESS THE PRIORITY NEEDS AND SPECIFIC OBJECTIVES IDENTIFIED IN THE GRANTEE'S STRATEGIC PLAN. | 0 |
| 3. THE AMOUNT OF SURPLUS FUNDS FROM URBAN RENEWAL SETTLEMENTS | 0 |
| 4. THE AMOUNT OF ANY GRANT FUNDS RETURNED TO THE LINE OF CREDIT FOR WHICH THE PLANNED USE HAS NOT BEEN INCLUDED IN A PRIOR STATEMENT OR PLAN | 0 |
| 5. THE AMOUNT OF INCOME FROM FLOAT-FUNDED ACTIVITIES | 0 |
| TOTAL PROGRAM INCOME: | 0 |

OTHER CDBG REQUIREMENTS

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 1. THE AMOUNT OF URGENT NEED ACTIVITIES | 0 |
| 2. THE ESTIMATED PERCENTAGE OF CDBG FUNDS THAT WILL BE USED FOR ACTIVITIES THAT BENEFIT PERSONS OF LOW AND MODERATE INCOME. OVERALL BENEFIT - A CONSECUTIVE PERIOD OF ONE, TWO OR THREE YEARS MAY BE USED TO DETERMINE THAT A MINIMUM OVERALL BENEFIT OF 70% OF CDBG FUNDS IS USED TO BENEFIT PERSONS OF LOW AND MODERATE INCOME. SPECIFY THE YEARS COVERED THAT INCLUDE THIS ANNUAL ACTION PLAN. | 90.00% |

HOME INVESTMENT PARTNERSHIP PROGRAM (HOME)

REFERENCE 24 CFR 91.220(l)(2)

1. A DESCRIPTION OF OTHER FORMS OF INVESTMENT BEING USED BEYOND THOSE IDENTIFIED IN SECTION 92.205 IS AS FOLLOWS:

BEYOND THE FUNDS ASSOCIATED WITH THE HUD FEDERAL FORMULA GRANTS DESCRIBED IN SECTION 92.205, THERE ARE SEVERAL OTHER SOURCES OF INVESTMENT BEING USED TO DEVELOP AFFORDABLE HOUSING WITHIN THE CITY OF UTICA. THE MOST SIGNIFICANT SOURCE OF FUNDS THAT WE SEE FOR DEVELOPERS SEEKING HOME FUNDS IS EQUITY DERIVED FROM LOW INCOME HOUSING TAX CREDIT PROGRAM, BOTH 9% LIHTC AND 4% LIHTC. ADDITIONALLY, NEW YORK STATE AFFORDABLE HOUSING CORPORATION FUNDS ARE FREQUENTLY USED ALONGSIDE HOME FUNDS, ESPECIALLY FOR HOMEOWNER OCCUPIED REHABILITATION PROJECTS THROUGH COMMUNITY HOUSING DEVELOPMENT ORGANIZATIONS (CHDO) SUCH AS UNITED NEIGHBORWORKS HOMEOWNERSHIP CENTER (UNHS), AND ARE ADDITIONALLY BENEFICIAL BECAUSE THEY ALLOW FOR ASSISTANCES TO LOW-TO-MODERATE-INCOME PERSONS UP TO

120% OF THE AREA MEDIAN INCOME. THE CITY'S OTHER CHDO, JOHNSON PARK CENTER, HAS USED HOME FUNDS IN COORDINATION WITH HOMELESS HOUSING ASSISTANCE PROGRAM FUNDS TO DEVELOP PERMANENT HOUSING FOR THE CHRONICALLY HOMELESS. FURTHERMORE, DEVELOPERS HAVE BEEN UTILIZING FUNDING OPPORTUNITIES FROM THE NYS OFFICE OF MENTAL HEALTH AND OFFICE FOR PERSONS WITH DISABILITIES FOR THE DEVELOPMENT OF MIXED-USE HOUSING PROJECTS THAT ARE PART SUPPORTIVE AND PART AFFORDABLE. LASTLY, WHILE NOT QUALIFYING AS MATCH, WE ALSO SEE A SIGNIFICANT AMOUNT OF OWNER INVESTMENT WITHIN THE AFFORDABLE HOUSING PROJECTS THAT ARE DEVELOPED - ESPECIALLY PROJECTS THAT ARE SMALLER IN NATURE (UNDER 40 UNITS) AND AIM TO DEVELOP MIXED-INCOME HOUSING.

2. A DESCRIPTION OF THE GUIDELINES THAT WILL BE USED FOR RESALE OR RECAPTURE OF HOME FUNDS WHEN USED FOR HOMEBUYER ACTIVITIES AS REQUIRED IN 92.254, IS AS FOLLOWS:

THE CITY OF UTICA USES THE CITY'S RESALE/RECAPTURE POLICY FOR ALL ACTIVITIES IN WHICH 92.254 IS APPLICABLE. THE POLICY FOCUSES ON RESALE FOR PROJECTS. UTICA'S RESALE POLICY REQUIRES THAT WHEN A PROPERTY IS SOLD, THE SUBSEQUENT BUYERS (LIKE THE PREVIOUS OWNER) MUST BE LOW TO MODERATE INCOME (<80% OF THE AREA MEDIAN INCOME); AND THE PROPERTY MUST BE SOLD AT A PRICE THAT IS AFFORDABLE TO THE NEW BUYER WHILE PROVIDING A FAIR RETURN ON INVESTMENT, NOT A MARKET RETURN, TO THE SELLER (INITIAL INVESTMENT + REASONABLE IMPROVEMENTS). THIS POLICY WAS MOST-RECENTLY USED IN 2018 IN THE PROCESS OF GUIDING A HOMEOWNER-INITIATED RESALE OF A HOME-FUNDED PROPERTY WITH FOUR YEARS REMAINING ON THE AFFORDABILITY PERIOD.

3. A DESCRIPTION OF THE GUIDELINES FOR RESALE OR RECAPTURE THAT ENSURES THE AFFORDABILITY OF UNITS ACQUIRED WITH HOME FUNDS? SEE 24 CFR 92.254(A)(4) ARE AS FOLLOWS:

RESALE PRICE RESTRICTIONS ARE IMPLEMENTED BY THE CITY OF UTICA OR A QUALIFIED NONPROFIT SUBRECIPIENT (SUCH AS THE CITY'S MUNICIPAL HOUSING AUTHORITY) OR CHDO RETAINING A PRE-EMPTIVE RIGHT, OR RIGHT OF FIRST REFUSAL, TO EITHER PURCHASE THE HOME OR FIND ANOTHER INCOME-ELIGIBLE BUYER TO PURCHASE THE HOME FROM THE EXISTING OWNER FOR THE ENTIRETY OF THE AFFORDABILITY PERIOD. THE EFFECTIVENESS OF THAT PREEMPTIVE RIGHT DEPENDS ON THE CONTINUED ABILITY OF THE SUBRECIPIENT, CHDO OR CITY TO EXERCISE SAID RIGHT, WHICH IS WHY IT MUST BE EXPRESSLY STATED IN THE RESTRICTIVE COVENANTS AND MORTGAGE DOCUMENTS.

4. PLANS FOR USING HOME FUNDS TO REFINANCE EXISTING DEBT SECURED BY MULTIFAMILY HOUSING THAT IS REHABILITATED WITH HOME FUNDS ALONG WITH A DESCRIPTION OF THE REFINANCING GUIDELINES REQUIRED THAT WILL BE USED UNDER 24 CFR 92.206(B), ARE AS FOLLOWS:

THE CITY OF UTICA HAS NO PLANS FOR USING HOME FUNDS TO REFINANCE EXISTING DEBT SECURED BY MULTIFAMILY HOUSING REHABILITATED WITH HOME FUNDS.

EMERGENCY SOLUTIONS GRANT (ESG)
REFERENCE 91.220(L)(4)

1. INCLUDE WRITTEN STANDARDS FOR PROVIDING ESG ASSISTANCE (MAY INCLUDE AS ATTACHMENT)
 1. A. [HTTP://WWW.MVHOMELESS.ORG/MVHHC_DOCS%20FOR%20SITE_WEB%20DESIGN/CoC/NY-518%20CoC%20REALLOCATION%20POLICIES%20AND%20PROCEDURES%202016.PDF](http://www.mvhomeless.org/mvhhc_docs%20for%20site_web%20design/CoC/NY-518%20CoC%20REALLOCATION%20POLICIES%20AND%20PROCEDURES%202016.PDF)
2. IF THE CONTINUUM OF CARE HAS ESTABLISHED CENTRALIZED OR COORDINATED ASSESSMENT SYSTEM THAT MEETS HUD REQUIREMENTS, DESCRIBE THAT CENTRALIZED OR COORDINATED ASSESSMENT SYSTEM.
 1. THE CoC UTILIZES A “NO-WRONG DOOR” APPROACH CONSISTING OF MULTIPLE ACCESS SITES THAT HAVE BEEN AND CONTINUE TO BE ADVERTISED TO THE COMMUNITY AND TO ALL SERVICE PROVIDER PARTNERS. OUR LOCAL DISTRICTS OF SOCIAL SERVICES ARE THE MAIN DAYTIME ENTRY POINT FOR HOMELESS PERSONS TO OBTAIN EMERGENCY HOUSING ASSISTANCE. THE CES UTILIZES THE VI-SPDAT, WHICH IS COMPLETED AT THE LOCAL EMERGENCY SHELTERS, AND THEN ENTERED INTO OUR HMIS DATABASE. EMERGENCY HOUSING/SHELTER INTAKES ARE COMPLETED AND ENTERED INTO THE HMIS (OR COMPARABLE DATABASE FOR OUR CoC’S DV SHELTER PROVIDER) WITHIN 1-3 BUSINESS DAYS AND THE VI-SPDAT IS COMPLETED, WITH CES PROGRAM ENTRY, WITHIN 5 DAYS OF ARRIVAL (THIS IS USUALLY ACCOMPLISHED WITHIN THE FIRST 48 HOURS). PERMANENT HOUSING PROVIDERS (RRH AND PSH) AND TRANSITIONAL HOUSING PROVIDERS IN CHECK THE CES “BY-NAME” OR ACTIVE LIST DAILY TO KEEP UP TO DATE WITH NEW ENTRIES. ANYONE THAT IS NOT IN EMERGENCY SHELTER (I.E. ON THE STREETS) IS REFERRED TO OUR RRH CASE MANAGER FOR A CES INTAKE AND ASSESSMENT. ONCE ON THE CES LIST, PROVIDERS CAN THEN NARROW THEIR SEARCH TO THEIR PROGRAM SPECIFIC CRITERIA SUCH AS VETERANS’ STATUS, CHRONICALLY HOMELESS, FAMILY WITH CHILDREN, TRANSITION AGED YOUTH, ETC
3. IDENTIFY THE PROCESS FOR MAKING SUB-AWARDS AND DESCRIBE HOW THE ESG ALLOCATION AVAILABLE TO PRIVATE NONPROFIT ORGANIZATIONS (INCLUDING COMMUNITY AND FAITH-BASED ORGANIZATIONS).
 1. SINCE 2015, THE CITY OF UTICA WORKS WITH FOUR MEMBERS OF THE CONTINUUM TO RANK AND REVIEW ALL ESG APPLICATIONS. EACH OF THE MEMBERS INDEPENDENTLY RANKS AND REVIEWS APPLICATIONS BEFORE MEETING TO DISCUSS AND COMPARE APPLICATIONS AND SCORES. MEMBERS INVOLVED IN THE 2020 RANKING COMMITTEE ARE STEVE DARMAN - MV HOUSING AND HOMELESS COALITION, MICHAEL PEEK - CITY OF UTICA, ROBIN ROBINSON - UNITED WAY OF THE VALLEY AND GREATER UTICA, MARY KERNAN – NYS DEPT OF FAMILY ASSISTANCE, AND SHEILA NOVA – MV HOUSING AND HOMELESS COALITION. ALL PLANNING MEETINGS AND DECISIONS FULLY INVOLVED THE CoC CHAIR AND FINAL FUNDING DECISIONS ARE MADE BY THE CoC STEERING COMMITTEE BOARD WHICH INCLUDES THE CITY OF UTICA.
4. IF THE JURISDICTION IS UNABLE TO MEET THE HOMELESS PARTICIPATION REQUIREMENT IN 24 CFR 576.405(A), THE JURISDICTION MUST SPECIFY ITS PLAN FOR REACHING OUT TO AND CONSULTING WITH HOMELESS OR FORMERLY HOMELESS INDIVIDUALS IN CONSIDERING POLICIES AND FUNDING DECISIONS REGARDING FACILITIES AND SERVICES FUNDED UNDER ESG.
 1. THE CITY OF UTICA IS ABLE TO MEET THE REQUIREMENTS OF 24 CFR 576.405(A).

5. DESCRIBE PERFORMANCE STANDARDS FOR EVALUATING ESG.

GUIDING PRINCIPLES FOR SETTING PRIORITIES AND SELECTING AND RANKING HOMELESS ASSISTANCE PROJECTS:

OUR CoC IS GUIDED BY PRINCIPLES DEVELOPED AND PROMOTED BY HUD AND SHAPED BY OUR LOCAL UNDERSTANDING OF HOW TO BEST PREVENT AND END HOMELESSNESS IN OUR REGION OF CENTRAL UPSTATE NEW YORK. WE PRACTICE WHAT WE BELIEVE IN, AND WE BELIEVE IN:

1. ENGAGING AND INVOLVING A WIDE, REPRESENTATIVE CROSS SECTION OF OUR COMMUNITY, INCLUDING CURRENTLY AND FORMERLY HOMELESS PERSONS, IN HOMELESS NEEDS ASSESSMENT, PROGRAM PLANNING, PUBLIC EDUCATION AND ADVOCACY, AND FUNDING DECISIONS.
 2. USING CURRENT RESEARCH ON THE MOST EFFECTIVE LONG-TERMS SOLUTIONS TO HOMELESSNESS INCLUDING THE FEDERAL STRATEGIC PLAN TO PREVENT AND END HOMELESSNESS (OPENING DOORS AVAILABLE FROM THE US INTERAGENCY COUNCIL ON HOMELESSNESS AT [HTTP://USICH.GOV/INDEX.PHP/OPENING_DOORS/](http://USICH.GOV/INDEX.PHP/OPENING_DOORS/)) AND REFLECTED IN HUD'S ANNUAL NOTICE OF FUNDING AVAILABILITY FOR HOMELESS ASSISTANCE PROGRAMS.
 3. PRIORITIZING OUR MOST VULNERABLE POPULATIONS FOR HOMELESS ASSISTANCE SERVICES WHEN FUNDS ARE LIMITED AND PROMOTING RACIAL AND GENDER JUSTICE BY ENSURING THAT OUR PROGRAMS AND SERVICES ARE AVAILABLE TO AND EFFECTIVELY SERVING ALL PEOPLE, REGARDLESS OF RACE, GENDER, AND SEXUAL ORIENTATION.
 4. THE IMPORTANCE OF DESIGNING AND SUPPORTING A HOMELESS ASSISTANCE CONTINUUM OF CARE THAT INCLUDES HOUSING AND SUPPORT SERVICES THAT EFFECTIVELY ADDRESS ALL POPULATIONS EXPERIENCING HOMELESSNESS IN OUR AREA.
 5. THE REALITY THAT MANY HOMELESS PERSONS AND FAMILIES NEED MORE THAN A HOUSING UNIT TO ACHIEVE LONG TERM HOUSING STABILITY. A WIDE RANGE FOR SUPPORT SERVICES (EMPLOYMENT READINESS, HEALTH CARE, LIFE SKILL TRAINING, BENEFITS COUNSELING AND ADVOCACY, TRANSPORTATION, CHILD CARE SUPPORT, ETC.) TAILORED TO THE INDIVIDUAL NEEDS OF HOMELESS PERSONS AND FAMILIES IS CRITICAL FOR ENDING HOMELESSNESS AND PREVENTING FUTURE HOMELESS EPISODES.
 6. CoC NY-518 EVALUATION AND RANKING OF HOMELESS ASSISTANCE PROJECT APPLICATIONS;
- THE CoC'S EVALUATION OF CoC AND ESG PROJECT PROPOSALS IS BASED ON A COMBINATION OF HUD PROJECT APPLICANT AND PROJECT QUALITY, AND PROJECT PRIORITY MEASURES AND OUR LOCAL CoC APPLICANT AND PROJECT QUALITY MEASURES IN ADDITION TO AN ASSESSMENT OF PRIOR PROJECT PERFORMANCE IN MULTIPLE DOMAINS.
 - PROJECT PERFORMANCE IS ASSESSED BY THE CoC'S PERFORMANCE MANAGEMENT AND RANKING COMMITTEE USING A POINT SYSTEM AS OUTLINED BELOW. RENEWAL PROJECTS WITH A HIGHER POINT TOTAL WILL BE RANKED HIGHER THAN PROJECTS WITH A LOWER POINT TOTAL.

ATTACHMENTS

CITIZEN PARTICIPATION COMMENTS



ROBERT M. PALMIERI
MAYOR

CITY OF UTICA

URBAN & ECONOMIC DEVELOPMENT

1 KENNEDY PLAZA, UTICA, NEW YORK 13502

PH. 315-792-0181 | FAX. 315-797-6607

BRIAN THOMAS, AICP
COMMISSIONER

City of Utica, New York
2020 – 2021 Program Year Substantial Amendment
January 27, 2021

In accordance with the City of Utica, New York's Citizen Participation Plan and the federal Coronavirus Aid, Relief and Economic Security Act (CARES Act) (Public Law 116-136), the City of Utica has prepared a Substantial Amendment to the City's 2020-2021 program year Annual Action Plan, the first year of the City's 2020-2024 Consolidated Plan.

The proposed Substantial Amendment involves \$679,576 in supplemental Community Development Block Grant (CDBG) funds awarded through the CARES Act and intended to prevent, prepare for and respond to the global coronavirus pandemic. This funding is administered by the United States Department of Housing & Urban Development (HUD).

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

Under ordinary circumstances, the City's Citizen Participation Plan requires that public notice be provided at least thirty (30) days prior to the submission of a Substantial Amendment to HUD. However, in light of the current pandemic, CDBG-CV recipients have been given the flexibility to amend their Citizen Participation Plan and reduce the usual citizen participation requirements to no less than five (5) calendar days. At its meeting on May 20, 2020, the Common Council approved that amendment to the City's Citizen Participation Plan.

Following considerable consultation with various human service agencies and organizations, the following plan has been developed:

| CDBG-CV | | \$679,576 |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-----------|
| Activity/Description | | Amount |
| Community Kitchens | | |
| Through this funding, the City will fund existing community kitchens that serve hot meals within the City; participating kitchens will in-turn work with Utica-based restaurants to provide pre-packaged meals to the kitchens. The City will also work cooperatively with those kitchens to market the program to restaurants | | \$280,576 |

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| strictly located within the City of Utica. Self-certification of all persons/families receiving the meals will need to be gathered by each participating kitchen and the City will need to document that at least 51% of those receiving meals have a total family income of less than 80% of AMI. | |
| Landlord Assistance Through Emergency Repairs | |
| Up to \$15,000 in assistance will be provided to owners of multi-unit residential buildings to make emergency repairs for which no other funding (public or private) is available, due to impacts from the coronavirus. The City will contract with a local not-for-profit familiar with construction and selected through a competitive process to administer this program. Emergency repairs will include major building systems (i.e., furnace, hot water heater, plumbing, electrical, etc.), building envelope (i.e., roof, windows, etc.) and building access (i.e., steps, ramps, etc.) necessary to protect the health and safety of the low- to moderate-income residents. In order to be eligible, landlords will be required to prove a COVID hardship, such as reduced rental income for a sustained period of time since March 2020 and insufficient funds to cover the anticipated cost of repairs. | \$279,000 |
| Employment via Social Enterprise | |
| This activity will require that a local social service agency develop a social enterprise program that, in effect, employs homeless persons within the City of Utica to perform tasks that do not compete with existing private-sector businesses, such as establishing a service that shovels the sidewalks of elderly residents in the winter. | \$120,000 |
| \$679,576 | |

The City is also proposing a second amendment that aims to reallocate Emergency Solutions Grant (ESG) funds that were awarded during the 2016-17, 2017-18, and 2018-19 Program Years that remain unspent due to rule changes and/or subrecipient withdrawal from their contracts. The action involves a transfer of \$140,084.79 of ESG funds from the following activities: \$21,708.76 – Transitional Housing funds (2016-2018) will be reallocated to pay for foundation repairs to the Johnson Park Center Emergency Shelter; \$118,376.03 – Rapid Rehousing funds (2016-2019) will be reallocated to Rapid Rehousing and Homelessness Prevention activities provided by the Municipal Housing Authority, Integrated Community Action Network (ICAN) and the Veterans' Outreach Center. Additional shelter needs at the YWCA Hall House and Rescue Mission Men's Shelter may also be addressed where possible.

Finally, the City is proposing a final amendment to transfer \$150,000 in CDBG revolving loan fund proceeds/program income to Demolition in the current 2020-2021 program year in order to demolish various City-owned properties that are either a slum and blighting influence on the surrounding neighborhood or are located within the City's CDBG Target Area.

This notice was posted to the City of Utica's website, www.cityofutica.com, on Wednesday, January 27, 2021 and is being published in the Observer Dispatch, the City's official newspaper. The City intends to submit the above Substantial Amendments to its Program Year 2020 Annual Action Plan electronically to HUD five (5) days after publication in the newspaper. Comments on this Substantial Amendment may be e-mailed to Commissioner of Urban & Economic Development Brian Thomas, AICP at bthomas@cityofutica.com.



ROBERT M. PALMIERI
MAYOR

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BRIAN THOMAS, AICP
COMMISSIONER

City of Utica, New York CARES Act Emergency Solutions Grant – CV Substantial Amendment

May 20, 2020

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

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

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

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

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

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

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

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



ROBERT M. PALMIERI
MAYOR

CITY OF UTICA

URBAN & ECONOMIC DEVELOPMENT

1 KENNEDY PLAZA, UTICA, NEW YORK 13502
PH. 315-792-0181 | FAX. 315-797-6607

BRIAN THOMAS, AICP
COMMISSIONER

City of Utica, New York

CARES Act

CDBG – CV Substantial Amendment

May 28, 2020

In accordance with the City of Utica, New York Citizen Participation Plan and the federal Coronavirus Aid, Relief and Economic Security Act (CARES Act) (Public Law 116-136), the City of Utica has prepared a Substantial Amendment to the City's 2020-2021 program year Annual Action Plan, the first year of the City's 2020-2024 Consolidated Plan.

The proposed Substantial Amendment involves \$1,510,166 in supplemental Community Development Block Grant (CDBG) funds awarded through the CARES Act and intended to prevent, prepare for and respond to the global coronavirus pandemic. This funding is administered by the United States Department of Housing & Urban Development (HUD).

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

Under ordinary circumstances, the City's Citizen Participation Plan requires that public notice be provided at least thirty (30) days prior to the submission of a Substantial Amendment to HUD. However, in light of the current pandemic, CDBG-CV recipients have been given the flexibility to amend their Citizen Participation Plan and reduce the usual citizen participation requirements to no less than five (5) calendar days. At its meeting on Wednesday, May 20, 2020, the Common Council approved that amendment to the City's Citizen Participation Plan.

Following considerable consultation with the Mohawk Valley Housing & Homeless Coalition, the area's Continuum of Care, and other human service agencies and organizations, the following plan has been developed:

| CDBG-CV | | \$1,510,166 |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--------------------|
| Activity/Description | | Amount |
| Economic Development | | |
| Pandemic Stimulus Program - provide direct financial assistance through forgivable loan program to businesses that agree to retain employees during 8-week period w/o regard to family income of employee(s); max loan amount of \$10,000 per applicant | | \$225,000 |
| Housing | | |
| Rent Relief Program - assist renters with family incomes between 50% and 80% of area median income with up to three months' rent, including arrears; payment to be made directly to landlords | | \$250,000 |
| Mortgage Relief Program - assist low- and moderate-income homeowners (up to 80% of area median income) with payment of up to three months' mortgage, including arrears; payment to be made directly to financing institutions | | \$200,000 |
| Mortgage Relief Program - assist moderate-income homeowners (up to 120% of area median income) with payment of up to three months' mortgage, including arrears; payment to be made directly to financing institutions | | \$175,000 |
| Public Services | | |
| Provide funding for allocation to local food banks and pantries that distribute food to needy persons and families living in Utica | | \$195,000 |
| Provide funding to re-tool community organizing efforts in the wake of COVID-19 with a focus on existing neighborhood associations w/in the City's CDBG Target Area | | \$40,000 |
| Establish 'Utica Green Teams'; teams of no more than 10 youth per team, ages 14 to 18, will conduct 'neighborhood sweeps' within CDBG Target Area | | \$125,000 |
| Administration (20% maximum) | | |
| General administrative costs (salary/fringe) for City staff | | \$300,166 |
| | | \$1,510,166 |

This notice was posted to the City of Utica's website, www.cityofutica.com, on Thursday, May 28, 2020 and will be published in the Observer Dispatch, the City's official newspaper. The City intends to submit its CDBG-CV Substantial Amendment to its Program Year 2020 Annual Action Plan electronically to HUD five (5) days after publication in the newspaper. Comments on this Substantial Amendment may be e-mailed to Commissioner of Urban & Economic Development Brian Thomas, AICP at bthomas@cityofutica.com.



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BRIAN THOMAS, AICP
COMMISSIONER

City of Utica, New York

CARES Act (CV-2)

Emergency Solutions Grant – CV Substantial Amendment

August 10, 2021

The Coronavirus Aid, Relief and Economic Security Act (CARES Act) (Public Law 116-136) provided entitlement communities with \$4 billion in supplemental Emergency Solutions Grant (ESG) Program funding to prevent, prepare for and respond to the global coronavirus pandemic. This funding is administered by the United States Department of Housing & Urban Development (HUD). Based on the current entitlement formula used to calculate annual ESG allocations, HUD has notified the City of Utica that it will receive a supplemental allocation of ESG-CV funds totaling \$486,089.00.

In order to access the supplemental ESG-CV funds, the CARES Act requires that entitlement communities submit a Substantial Amendment to HUD through HUD's Integrated Disbursement and Information System (IDIS). Additionally, HUD has asked that entitlement communities amend their latest approved Annual Action Plan. On August 3, 2021, HUD notified the City of Utica that its Program Year 2021 Annual Action Plan had been reviewed and approved; as such, the City of Utica is proposing to amend its 2021 Annual Action Plan to include any and all supplemental CARES Act funding, including ESG-CV, the subject of this notice.

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

In developing the plan summarized below for the expenditure of its supplemental ESG-CV funds, the City of Utica consulted extensively with the Mohawk Valley Housing & Homeless Coalition, the area's Continuum of Care. While the first round of ESG-CV funding provided Rent/Mortgage Relief for renters and homeowners, expanded Rapid Rehousing, and assistance to existing emergency shelters that have been impacted by the coronavirus, as a result of that consultation, the next ESG-CV plan addresses an additional priority, including:

- Establishing a 24-hour/day, 7-day/week "low-barrier" shelter system as an alternative for an increasing number of homeless individuals that don't meet intake requirements at any of the City's

traditional shelters. These temporary shelters will provide meals, laundry facilities, beds, lockers for personal belongings, and expanded access to counseling.

| Proposed Activity/Description | Amount |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| Temporary Emergency Shelter | |
| To address impacts to existing shelters as a result of COVID-19 – With an increase in the homeless population, clustered loitering in the City’s parks and residential neighborhoods has drastically increased, along with the risk of community transmission of the Delta variant. Establishing three “low-barrier” shelters that offer a combined coverage of 24-hours/day, 7 days/week offers alternatives to clients that don’t meet intake requirements at any of the City’s traditional shelters. | |
| Rescue Mission – Utica Recovery Center | \$179,921.00 |
| Salvation Army - Low-Barrier Shelter | \$168,807.00 |
| Cornerstone Community Church – Morrow Center | \$137,361.00 |
| | \$486,089.00 |

This notice has been posted to the City of Utica’s website: www.cityofutica.com on Tuesday, August 10, 2021. The City intends to submit its ESG-CV Substantial Amendment to its Program Year 2021 Annual Action Plan electronically to HUD no later than Monday, August 16, 2021. Comments on this Substantial Amendment may be e-mailed to Commissioner of Urban & Economic Development Brian Thomas, AICP at bthomas@cityofutica.com.



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BRIAN THOMAS, AICP
COMMISSIONER

City of Utica, New York

CARES Act Emergency Solutions Grant – CV Substantial Amendment

April 22, 2022

In accordance with the City of Utica, New York Citizen Participation Plan and the federal Coronavirus Aid, Relief and Economic Security Act (CARES Act) (Public Law 116-136), the City of Utica has prepared a Substantial Amendment to the City's 2020-2021 program year Annual Action Plan, the first year of the City's 2020-2024 Consolidated Plan.

The proposed Substantial Amendment involves \$231,692.04 in supplemental Emergency Solutions Grant (ESG) funds awarded through the CARES Act and intended to prevent, prepare for and respond to the global coronavirus pandemic. This funding is administered by the United States Department of Housing & Urban Development (HUD).

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

Under ordinary circumstances, the City's Citizen Participation Plan requires that public notice be provided at least thirty (30) days prior to the submission of a Substantial Amendment to HUD. However, in light of the current pandemic, ESG-CV recipients have been given the flexibility to amend their Citizen Participation Plan and reduce the usual citizen participation requirements to no less than five (5) calendar days. At its meeting on Wednesday, May 20, 2020, the Common Council approved that amendment to the City's Citizen Participation Plan.

Following considerable consultation with the Mohawk Valley Housing & Homeless Coalition, the area's Continuum of Care, and other human service agencies and organizations, the following plan has been developed:

The City is proposing a third amendment that aims to reallocate Emergency Solutions Grant (ESG-CV) funds that were awarded in the first round of CARES Act funding that remain unspent due to similar programs offered through State and County agencies offering better terms. The action

involves a transfer of \$231,692.04 of ESG-CV funds from the following activities: \$231,692.04 – UNHS Rent Relief Program (2020). Funds will be reallocated to supplement a homeless drop-in center/low-barrier shelter program for the City's underhoused or street homeless that will provide three locations offering a combined 24-hour/7-day per week service. The centers will be operated by Cornerstone Community Church, the Salvation Army, and the Rescue Mission of Utica.

| Proposed Activity/Description | Amount |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| Temporary Emergency Shelter | |
| Reallocate unspent ESG-CV funds from the terminated UNHS Rent Relief Program (2020) to the 24-hour/day, 7-day/week "low-barrier" shelter program operated by the Utica Municipal Housing Authority. | \$231,692.04 |
| | \$231,692.04 |

This notice has been posted to the City of Utica's website: www.cityofutica.com on Wednesday, August 11, 2021. The City intends to submit its ESG-CV Substantial Amendment to its Program Year 2020 Annual Action Plan electronically to HUD five (5) days after publication in the newspaper. Comments on this Substantial Amendment may be e-mailed to Commissioner of Urban & Economic Development Brian Thomas, AICP at bthomas@cityofutica.com.



ROBERT M. PALMIERI
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BRIAN THOMAS, AICP
COMMISSIONER

City of Utica, New York

CARES Act Emergency Solutions Grant – CV Substantial Amendment

April 22, 2022

In accordance with the City of Utica, New York Citizen Participation Plan and the federal Coronavirus Aid, Relief and Economic Security Act (CARES Act) (Public Law 116-136), the City of Utica has prepared a Substantial Amendment to the City's 2020-2021 program year Annual Action Plan, the first year of the City's 2020-2024 Consolidated Plan.

The proposed Substantial Amendment involves \$156,832.00 in supplemental Emergency Solutions Grant (ESG) funds awarded through the CARES Act and intended to prevent, prepare for and respond to the global coronavirus pandemic. This funding is administered by the United States Department of Housing & Urban Development (HUD).

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

Under ordinary circumstances, the City's Citizen Participation Plan requires that public notice be provided at least thirty (30) days prior to the submission of a Substantial Amendment to HUD. However, in light of the current pandemic, ESG-CV recipients have been given the flexibility to amend their Citizen Participation Plan and reduce the usual citizen participation requirements to no less than five (5) calendar days. At its meeting on Wednesday, May 20, 2020, the Common Council approved that amendment to the City's Citizen Participation Plan.

Following considerable consultation with the Mohawk Valley Housing & Homeless Coalition, the area's Continuum of Care, and other human service agencies and organizations, the following plan has been developed:

- Increase the allocation of ICAN's ESG-CV Rapid Rehousing Program from \$179,600.00 to \$336,432.00 using ESG-CV funds that remain unallocated to other activities.

| Proposed Activity/Description | Amount |
|---------------------------------------------------------------------------------------|---------------------|
| Rapid Rehousing | |
| Moving 18+ year olds from shelters into permanent housing; to be administered by ICAN | \$179,600.00 |
| | \$179,600.00 |

This notice has been posted to the City of Utica's website: www.cityofutica.com on Friday, April 22, 2022. The City intends to submit its ESG-CV Substantial Amendment to its Program Year 2021 Annual Action Plan electronically to HUD no later than Monday, May 23, 2022. Comments on this Substantial Amendment may be e-mailed to Commissioner of Urban & Economic Development Brian Thomas, AICP at bthomas@cityofutica.com.



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BRIAN THOMAS, AICP
COMMISSIONER

City of Utica, New York

2020 – 2024 Consolidated Plan Substantial Amendment

January 23, 2023

In accordance with the City of Utica, New York General Citizen Participation Plan, the City of Utica has prepared a substantial amendment to the City's 2020-2024 Consolidated Plan. The proposed substantial amendment comprises a transfer totaling \$2,433,617, involving ERP Revolving Loan funds (\$1 million) and Community Development Block Grant (CDBG) funds (\$1,433,617), of which majority of the funds were allocated for administrative expenses between 2012 and 2019. The funds will be transferred to various CDBG-eligible activities, including: Paving (\$1,000,000), Playground improvements, (\$250,000) Sidewalk improvements (\$130,503), Other ADA improvements (\$600,000), Firehouse improvements (\$200,000) & turn out gear (\$53,114), and United Cerebral Palsy (\$200,000).

This proposal also includes a transfer of \$70,000 from 2017-2018 CDBG funds, originally allocated to UPD Fixed Location Surveillance Solutions, to the 2021-2022 Employment via Social Enterprise activity that began in 2020 to assist the City of Utica's homeless populations.

Following a 30-day public comment period, the City of Utica will transfer said funds through the United States Department of Housing & Urban Development's (HUD) Integrated Disbursement and Information

System (IDIS).-

This notice was posted to the City of Utica's website, www.cityofutica.com, on Wednesday, December 7, 2022 and is being published in the Observer Dispatch, the City's official newspaper. The City intends to submit the above Substantial Amendments to its Program Year 2020 Annual Action Plan electronically to HUD thirty (30) days after publication in the newspaper.

Public comment regarding the proposed substantial amendment will be received by the City of Utica Department of Urban & Economic Development at 1 Kennedy Plaza, Utica, New York 13502 between the hours of 8:30 AM and 4:30 PM or at bthomas@cityofutica.com until January 6, 2023 at which time the changes described in the proposed substantial amendment will go into effect.

GRANTEE UNIQUE APPENDICES



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

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

BACKGROUND

UED HAS TWO OPTIONS FOR CONTROLLING THE RESALE OF THE HOMEBUYER PROPERTY DURING THE AFFORDABILITY PERIOD -- THE RECAPTURE OPTION AND THE RESALE OPTION. UED MAY DECIDE WHICH OPTION TO CHOOSE. WHILE THE RECAPTURE OPTION IS SIMPLEST, USING EITHER THE RECAPTURE OPTION OR THE RESALE OPTION TO RESPOND TO DIFFERENT MARKET CONDITIONS. UED WILL SELECT WHICH OPTION TO USE BEFORE THE ASSISTANCE IS PROVIDED TO THE HOMEBUYER.

IN ORDER TO DISCUSS THE TWO OPTIONS, IT HELPS TO UNDERSTAND SEVERAL TERMS:

- **DIRECT SUBSIDY:** A DIRECT SUBSIDY CONSISTS OF ANY FINANCIAL ASSISTANCE THAT REDUCES THE PURCHASE PRICE FROM FAIR MARKET VALUE TO AN AFFORDABLE PRICE, OR OTHERWISE DIRECTLY SUBSIDIZES THE PURCHASE (E.G., DOWNPAYMENT OR CLOSING COST ASSISTANCE, SUBORDINATE FINANCING).
- **DEVELOPMENT SUBSIDY:** A DEVELOPMENT SUBSIDY IS THE DIFFERENCE BETWEEN THE COST TO DEVELOP HOUSING AND THE MARKET PRICE. FOR EXAMPLE, THE PJ MIGHT PROVIDE A \$50,000 CONSTRUCTION LOAN TO A DEVELOPER. THE APPRAISED VALUE AFTER CONSTRUCTION WILL BE \$45,000 BECAUSE OF NEIGHBORHOOD AND MARKET CONDITIONS. THE \$5,000 DIFFERENCE BETWEEN THE \$45,000 SALE PRICE AND \$50,000 CONSTRUCTION LOAN IS NOT REPAID TO THE PJ AND REPRESENTS A DEVELOPMENT SUBSIDY PROVIDED TO THE DEVELOPER. WHILE THE SUBSIDY DOES NOT GO DIRECTLY TO THE HOMEBUYER, IT HELPS MAKE DEVELOPMENT OF AN AFFORDABLE HOME FEASIBLE.
- **HOMEBUYER INVESTMENT:** THE HOMEBUYER’S INVESTMENT CONSISTS OF THE PORTION OF INITIAL DOWNPAYMENT PAID BY THE HOMEBUYER COMBINED WITH THE VALUE OF ANY CAPITAL IMPROVEMENTS MADE WITH THE HOMEBUYER’S FUNDS.
- **NET PROCEEDS:** THE NET PROCEEDS OF A SALE ARE THE SALES PRICE MINUS NON-HOME LOAN REPAYMENTS AND ANY CLOSING COSTS.

CONSISTENT WITH 24 CFR PART 92.254(A)(4), THE FOLLOWING MINIMUM PERIOD OF AFFORDABILITY SHALL BE ENFORCED:

| | MINIMUM PERIOD OF AFFORDABILITY |
|----------------------|---------------------------------|
| HOME AMOUNT PER UNIT | |
| UNDER \$15,000 | 5 YEARS |
| \$15,000 TO \$40,000 | 10 YEARS |
| OVER \$40,000 | 15 YEARS |

FOR ADDITIONAL INFORMATION ON IMPLEMENTING HOME RESALE AND RECAPTURE PROVISIONS PLEASE SEE CDP NOTICE 12-003 AT THE FOLLOWING LINK BELOW.



CPD NOTICE 12-003 GUIDANCE ON RESALE AND RECAPTURE PROVISION REQUIREMENTS UNDER THE HOME PROGRAM

POLICY

RESALE

RESALE RESTRICTIONS WILL NOT REQUIRE THE REPAYMENT OF SUBSIDIES; INSTEAD, THEY WILL PRESERVE THE VALUE OF THE SUBSIDIES - AS WELL AS THE VALUE OF NEIGHBORHOOD EFFORTS TO INCREASE REAL ESTATE VALUES - BY FIXING THE SUBSIDY IN THE HOME SO THAT THE SUBSIDY IS PASSED ON TO SUBSEQUENT OWNERS.

UTICA'S RESALE POLICY REQUIRES THAT WHEN A PROPERTY IS SOLD, THE SUBSEQUENT BUYERS MUST BE LOW TO MODERATE INCOME (<80% OF THE AREA MEDIAN INCOME); AND THE PROPERTY MUST BE SOLD AT A PRICE THAT IS AFFORDABLE TO THE NEW BUYER WHILE PROVIDING A FAIR RETURN, NOT A MARKET RETURN, TO THE SELLER (INITIAL INVESTMENT + REASONABLE IMPROVEMENTS (SEE APPENDIX E). IN ORDER TO DETERMINE FAIR RETURN ON INVESTMENT THE CITY WILL USE THE FEDERAL HOUSING FINANCE AGENCY HOUSING PRICE INDEX CALCULATOR AS THE OBJECTIVE STANDARD FOR DETERMINING APPRECIATION OR DEPRECIATION OF A HOUSE. THE HPI CALCULATOR IS CURRENTLY LOCATED AT [HTTP://WWW.FHFA.GOV/DATATOOLS/TOOLS/PAGES/HPI-CALCULATOR.ASPX](http://www.fhfa.gov/DataTools/Tools/Pages/HPI-Calculator.aspx) AND PROJECTS WHAT A GIVEN HOUSE PURCHASED AT A POINT IN TIME WOULD BE WORTH TODAY IF IT APPRECIATED AT THE AVERAGE APPRECIATION RATE OF ALL HOMES IN THE AREA. THE CALCULATION SHALL BE PERFORMED FOR THE UTICA-ROME, NEW YORK METROPOLITAN STATISTICAL AREA.

RESALE PRICE RESTRICTIONS WILL BE IMPLEMENTED BY THE CITY OF UTICA OR A QUALIFIED NONPROFIT DEVELOPER OR CHDO RETAINING A PRE-EMPTIVE RIGHT, OR RIGHT OF FIRST REFUSAL, TO EITHER PURCHASE THE HOME OR FIND ANOTHER INCOME-ELIGIBLE BUYER TO PURCHASE THE HOME FROM THE EXISTING OWNER FOR THE REMAINDER OF THE AFFORDABILITY PERIOD, OR FULL AFFORDABILITY PERIOD IF NEW HOME ASSISTANCE IS PROVED TO THE NEW BUYER. THE EFFECTIVENESS OF THAT PREEMPTIVE RIGHT DEPENDS ON THE CONTINUED ABILITY OF THE DEVELOPER, CHDO OR CITY TO EXERCISE SAID RIGHT, WHICH IS WHY IT MUST BE EXPRESSLY STATED IN THE RESTRICTIVE COVENANTS AND MORTGAGE DOCUMENTS.

CENSUS TRACTS WHERE RESALE WILL BE APPLIED INCLUDE TRADITIONALLY WEAK HOUSING MARKET NEIGHBORHOODS WHERE HOUSING PRICES HAVE EITHER REMAINED THE SAME OVER THE LAST TEN YEARS, OR IN SOME INSTANCES, DECREASED. THEY INCLUDE:

- CENSUS TRACT 203
- CENSUS TRACT 207.01
- CENSUS TRACT 208.03
- CENSUS TRACT 209
- CENSUS TRACT 210
- CENSUS TRACT 211.01
- CENSUS TRACT 211.02
- CENSUS TRACT 212.01
- CENSUS TRACT 212.02
- CENSUS TRACT 215



ENFORCEMENT MECHANISMS - RESALE REQUIREMENTS SHALL BE ENFORCED THROUGH DEED RESTRICTION, COVENANT, LAND USE RESTRICTION AGREEMENT, OR OTHER SIMILAR MECHANISM FILED WITH THE UTICA RECORDER OF DEEDS AND THE REQUIREMENTS WITHIN SHALL BE TRIGGERED UPON SALE OR TRANSFER OF THE HOME-ASSISTED PROPERTY.

FORECLOSURE UNDER RESALE - FORECLOSURE ALSO TRIGGERS RESALE PROVISIONS. UNDER A FORECLOSURE SCENARIO UED WILL ENFORCE ITS DEED RESTRICTION/LAND USE AGREEMENT TO ENSURE THE HOUSE IS SOLD TO ANOTHER LOW-INCOME BUYER, AS DEFINED BY HOME REGULATIONS, AT AN AFFORDABLE PRICE. UED WILL INCORPORATE A RIGHT OF FIRST REFUSAL UNDER A FORECLOSURE SCENARIO INTO THE DEED RESTRICTION, ALLOWING THE DEVELOPER THE RIGHT TO PURCHASE THE PROPERTY PRIOR TO OR AT FORECLOSURE SALE IN ORDER TO PRESERVE THE AFFORDABILITY, IN LIEU OF REPAYING THE HOME INVESTMENT TO HUD.

RECAPTURE

UED REQUIRES THAT WHEN THE RECAPTURE REQUIREMENT IS TRIGGERED BY A SALE (WHETHER VOLUNTARY OR INVOLUNTARY), IT WILL RECAPTURE THE HOME INVESTMENT UP TO THE TOTAL NET PROCEEDS REMAINING AFTER THE SALE AS MODIFIED BY PROGRAM SPECIFIC CHOICES UNDER 24 CFR PART 92.254(A)(5)(II)(A)(1) THROUGH (4).

THE CITY'S RECAPTURE PROVISIONS, WHICH WILL BE APPLIED TO PROJECTS IN THE REMAINING CENSUS TRACTS NOT OUTLINED ABOVE, MUST ENSURE THAT THE CITY'S HOME PROGRAM RECOUP ALL OR A PORTION OF THE HOME ASSISTANCE PROVIDED TO THE HOMEBUYER, IF THE HOUSING DOES NOT CONTINUE TO BE THE PRINCIPAL PLACE OF RESIDENCE OF THE FAMILY FOR THE DURATION OF THE AFFORDABILITY PERIOD. THE HOMEOWNER MAY SELL THE PROPERTY TO ANY WILLING BUYER, AT ANY PRICE, AT ANY TIME. IF THE NET PROCEEDS ARE NOT SUFFICIENT TO RECAPTURE THE FULL HOME INVESTMENT, PLUS ENABLE THE HOMEOWNER TO RECOVER THE AMOUNT OF THE HOMEOWNERS' DOWN PAYMENT AND ANY VALUE ADDED CAPITAL IMPROVEMENTS (SEE APPENDIX E) MADE BY THE OWNER TO BUILDING STRUCTURE SINCE PURCHASE, THEN THE CITY WILL USE THE FOLLOWING TWO STEP FORMULA TO CALCULATE A SHARING OF THE NET PROCEEDS:

1. $(\text{SALES PRICE}) - (\text{PRIVATE DEBT}) - (\text{CLOSING COSTS}) = \text{MAXIMUM NET PROCEEDS (MNP)}$ AVAILABLE FOR RECAPTURE

2. $(\text{MNP}) - (\text{BUYER INITIAL INVESTMENT}) = \text{AMOUNT TO RECAPTURE}$

| EXAMPLE | |
|-----------|----------------------------------------------------------|
| \$ 80,000 | SALES PROCEEDS |
| \$ 60,000 | PRIVATE DEBT |
| \$ 5,000 | CLOSING COSTS |
| \$ 15,000 | MNP |
| | |
| \$15,000 | MNP |
| \$ 5,000 | ORIGINAL HOMEOWNER DOWN PAYMENT |
| \$ 5,000 | VALUE-ADDED HOMEOWNER IMPROVEMENTS TO STRUCTURE/FIXTURES |
| \$ 5,000 | AMOUNT TO RECAPTURE |

MORTGAGE RELEASE - UPON RECEIPT OF RECAPTURED FUNDS, UED SHALL FILE A "RELEASE" DOCUMENT WITH THE UTICA RECORDER OF DEEDS TO RELEASE THE ORIGINAL HOME-ASSISTED HOMEBUYER FROM THE REQUIREMENTS OF THE MORTGAGE OR OTHER SIMILAR MECHANISM.

RECAPTURED FUNDS - ANY RECAPTURED FUNDS DUE TO ENFORCEMENT OF CITY'S RECAPTURED POLICY SHALL BE REMITTED DIRECTLY TO UED TO BE UTILIZED FOR HOME-ELIGIBLE ACTIVITIES ONLY. THEY FUNDS WILL BE CONSIDERED RECAPTURED FUNDS.

UED MAY PERMIT SUBSEQUENT BUYER TO ASSUME THE REMAINING AFFORDABILITY PERIOD IF THE SUBSEQUENT BUYER IS LOW-INCOME. THIS WILL BE REVIEWED ON A CASE BY CASE BASIS.

ENFORCEMENT MECHANISMS - RECAPTURE PROVISIONS SHALL BE ENFORCED THROUGH A MORTGAGE, NOTE AND RECAPTURE AGREEMENT FILED WITH THE UTICA RECORDER OF DEEDS, AND THE REQUIREMENTS WITHIN SHALL BE TRIGGERED UPON SALE OR TRANSFER OF THE HOME-ASSISTED PROPERTY.

FORECLOSURE UNDER RECAPTURE - FORECLOSURE ALSO TRIGGERS RECAPTURE PROVISIONS. UNDER A FORECLOSURE SCENARIO UED WILL ENFORCE ITS RECAPTURE AGREEMENT SUBJECT TO AVAILABILITY OF NET PROCEEDS. IF AS A RESULT OF THE FORECLOSURE SALE, NET PROCEEDS ARE NOT SUFFICIENT TO RECAPTURE THE ENTIRE HOME INVESTMENT, THE BALANCE OF THE HOME INVESTMENT WILL BE FORGIVEN.



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

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

Adopted: April 1, 2013

Last Revised: June 1, 2015

BACKGROUND

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

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


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

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

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

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

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

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

POLICY

Resale

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

Utica's resale policy requires that when a property is sold, the subsequent buyers must be low to moderate income (<80% of the area median income); and the property must be sold at a price that is affordable to the new buyer while providing a fair return, not a market return, to the seller (initial investment + reasonable improvements (**See Appendix E**). In order to determine fair return on investment the City will use the Federal Housing Finance Agency Housing Price Index Calculator as the objective standard for determining appreciation or depreciation of a house. The HPI Calculator is currently located at <http://www.fhfa.gov/DataTools/Tools/Pages/HPI-Calculator.aspx> and projects what a given house purchased at a point in time would be worth today if it appreciated at the average appreciation rate of all homes in the area. The calculation shall be performed for the Utica-Rome, New York Metropolitan Statistical Area.

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

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

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



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

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

Recapture

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

1. $(\text{Sales Price}) - (\text{Private Debt}) - (\text{Closing Costs}) = \text{Maximum net proceeds (MNP) available for recapture}$
2. $(\text{MNP}) - (\text{Buyer initial investment}) = \text{Amount to recapture}$

Example

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

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

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

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

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

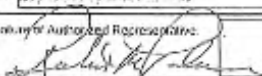
Foreclosure under Recapture - Foreclosure also triggers Recapture provisions. Under a foreclosure scenario UED will enforce its recapture agreement subject to availability of net proceeds. If as a result of the foreclosure sale, net proceeds are not sufficient to recapture the entire HOME investment,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

GRANTEE SF-424'S AND CERTIFICATION(S)

OMB Number 4040-004
Expiration Date: 12/31/2022

| Application for Federal Assistance SF-424 | | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| * 1. Type of Submission <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application | | * 2. Type of Application <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision | |
| | | * If Revision, select appropriate letter(s) <input type="text"/> * Other (Specify) <input type="text"/> | |
| * 3. Date Received: 03/16/2020 | | 4. Applicant Identifier SF-20-MC-36-0525 | |
| 5a. Federal Entity Identifier <input type="text"/> | | 5b. Federal Award Identifier <input type="text"/> | |
| State Use Only: | | | |
| 6. Date Received by State <input type="text"/> | | 7. State Application Identifier <input type="text"/> | |
| 8. APPLICANT INFORMATION: | | | |
| * a. Legal Name: City of Utica, New York | | | |
| * b. Employer/Taxpayer Identification Number (EIN/TIN) 15-6000-414 | | * c. Organizational DUNS 010139590000 | |
| d. Address: | | | |
| * Street1 J. Kennedy Plaza | | <input type="text"/> | |
| Street2 | | <input type="text"/> | |
| * City Utica | | <input type="text"/> | |
| County/Parish | | <input type="text"/> | |
| * State | | NY, New York | |
| Province | | <input type="text"/> | |
| * Country | | USA: UNITED STATES | |
| * Zip / Postal Code 13502-4234 | | <input type="text"/> | |
| e. Organizational Unit: | | | |
| Department Name Urban and Economic Development | | Division Name <input type="text"/> | |
| f. Name and contact information of person to be contacted on matters involving this application: | | | |
| Prefix Mr. | * First Name William | <input type="text"/> | |
| Middle Name | | <input type="text"/> | |
| * Last Name Thomas | | <input type="text"/> | |
| Suffix | | <input type="text"/> | |
| Title Commissioner, Urban and Economic Development | | | |
| Organizational Affiliation <input type="text"/> | | | |
| * Telephone Number 315-492-2101 | | Fax Number 315-757-5011 | |
| * Email wthomas@cityofutica.com | | | |

| | | | |
|------------------------------------------------------------------------|--|--------------------|-------------------|
| Application for Federal Assistance SF-424 | | | |
| * 9. Type of Applicant 1: Select Applicant Type: | | | |
| City or Township Government | | | |
| Type of Applicant 2: Select Applicant Type: | | | |
| | | | |
| Type of Applicant 3: Select Applicant Type: | | | |
| | | | |
| * Other (specify): | | | |
| | | | |
| * 10. Name of Federal Agency: | | | |
| U.S. Dept. of Housing & Urban Development | | | |
| * 11. Catalog of Federal Domestic Assistance Number: | | | |
| 14-218 | | | |
| CFDA Title | | | |
| HOME Investment Partnership Program | | | |
| * 12. Funding Opportunity Number: | | | |
| | | | |
| * Title | | | |
| | | | |
| * 13. Competition Identification Number: | | | |
| | | | |
| Title | | | |
| | | | |
| * 14. Areas Affected by Project (Cities, Counties, States, etc.): | | | |
| | | Add Attachment | Delete Attachment |
| | | | View Attachment |
| * 15. Descriptive Title of Applicant's Project: | | | |
| City of Utica, New York, Community Development Block Grant Annual Plan | | | |
| Attach supporting documents as specified in agency instructions | | | |
| Add Attachments | | Delete Attachments | View Attachments |

| Application for Federal Assistance SF-424 | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|
| 16. Congressional Districts Of: | |
| * a. Applicant <input type="text" value="28"/> | * b. Program/Project <input type="text" value="2.1"/> |
| Attach an additional list of Program/Project Congressional Districts if needed. | |
| <input type="text"/> | <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> |
| 17. Proposed Project: | |
| * a. Start Date <input type="text" value="04/01/2020"/> | * b. End Date <input type="text" value="03/31/2021"/> |
| 18. Estimated Funding (\$): | |
| * a. Federal | <input type="text" value="658,399.00"/> |
| * b. Applicant | <input type="text" value="0.00"/> |
| * c. State | <input type="text" value="0.00"/> |
| * d. Local | <input type="text" value="0.00"/> |
| * e. Other | <input type="text" value="0.00"/> |
| * f. Program Income | <input type="text" value="0.00"/> |
| * g. TOTAL | <input type="text" value="658,399.00"/> |
| 19. Is Application Subject to Review By State Under Executive Order 12372 Process? | |
| <input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/> | |
| <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. | |
| <input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372. | |
| 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.) | |
| <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| If "Yes", provide explanation and attach | |
| <input type="text"/> | <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> |
| 21. "By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001) | |
| <input checked="" type="checkbox"/> ** I AGREE | |
| ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions. | |
| Authorized Representative: | |
| Prefix <input type="text" value="Mr."/> | * First Name <input type="text" value="Robert"/> |
| Middle Name <input type="text" value="L."/> | |
| * Last Name <input type="text" value="Patterson"/> | |
| Suffix <input type="text"/> | |
| * Title <input type="text" value="Mayor, City of Utica"/> | |
| * Telephone Number <input type="text" value="315-432-4100"/> | * Fax Number <input type="text" value="315-432-4100"/> |
| * Email <input type="text" value="mayor@cityofutica.org"/> | |
| * Signature of Authorized Representative:  | * Date Signed <input type="text" value="07/13/2020"/> |


| Application for Federal Assistance SF-424 | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-------------------------------------------------------|
| <div> <div> 1. Type of Submission: <input type="checkbox"/> Pre-application <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application </div> <div> 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision </div> <div> 3. Revision, select appropriate letter(s): <input type="text"/> Other (Specify): <input type="text"/> </div> </div> | | |
| 3. Date Received: 03/16/2020 | | 4. Applicant Identifier: 5-20-90-24-0113 |
| 5a. Federal Entity Identifier: <input type="text"/> | | 5b. Federal Award Identifier: <input type="text"/> |
| State Use Only: | | |
| 6. Date Received by State: <input type="text"/> | | 7. State Application Identifier: <input type="text"/> |
| 1. APPLICANT INFORMATION: | | |
| a. Legal Name: City of Utica, New York | | |
| b. Employer/Taxpayer Identification Number (EIN/TIN): 15-0000-4118 | | c. Organizational DUNS: 01075995-0000 |
| d. Address: | | |
| * Street: 1 Kennedy Plaza Street2: <input type="text"/> * City: Utica County/Parish: <input type="text"/> * State: NY: New York Province: <input type="text"/> * Country: USA: UNITED STATES * Zip / Postal Code: 13502-4234 | | |
| e. Organizational Unit: | | |
| Department Name: Urban and Economic Development | | Division Name: <input type="text"/> |
| f. Name and contact information of person to be contacted on matters involving this application: | | |
| First: JF First Name: JEFF Middle Name: <input type="text"/> * Last Name: Thomas Suffix: <input type="text"/> Title: Commissioner, Urban and Economic Development Organizational Affiliation: <input type="text"/> * Telephone Number: 315-792-0111 Fax Number: 315-792-0111 * Email: jthomas@cityofutica.ny.us | | |

| Application for Federal Assistance SF-424 | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| * 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="City or Township Government"/> | |
| Type of Applicant 2: Select Applicant Type <input type="text"/> | |
| Type of Applicant 3: Select Applicant Type <input type="text"/> | |
| * Other (specify): <input type="text"/> | |
| * 10. Name of Federal Agency: <input type="text" value="U.S. Dept. of Housing & Urban Development"/> | |
| 11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14-213"/> | |
| CFDA Title: <input type="text" value="Community Development Block Grant"/> | |
| * 12. Funding Opportunity Number: <input type="text"/> | |
| * Title: <input type="text"/> | |
| 13. Competition Identification Number: <input type="text"/> | |
| Title: <input type="text"/> | |
| 14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text"/> <div> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachments"/> </div> | |
| * 15. Descriptive Title of Applicant's Project: <input type="text" value="City of Utica, New York, Community Development Block Grant Annual Plan"/> | |
| Attach supporting documents as specified in agency instructions. <div> <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/> </div> | |

| Application for Federal Assistance SF-424 | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 16. Congressional Districts Of: | |
| * a. Applicant: <input type="text" value="01"/> | * b. Program/Project: <input type="text" value="01"/> |
| Attach an additional list of Program/Project Congressional Districts if needed | |
| <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="New Attachment"/> | |
| 17. Proposed Project | |
| * a. Start Date: <input type="text" value="04/01/2020"/> | * b. End Date: <input type="text" value="03/31/2021"/> |
| 18. Estimated Funding (\$): | |
| * a. Federal: | <input type="text" value="2,000,000.00"/> |
| * b. Applicant: | <input type="text" value="0.00"/> |
| * c. State: | <input type="text" value="0.00"/> |
| * d. Local: | <input type="text" value="0.00"/> |
| * e. Other: | <input type="text" value="0.00"/> |
| * f. Program Income: | <input type="text" value="200,000.00"/> |
| * g. TOTAL: | <input type="text" value="2,200,000.00"/> |
| * 19. Is Application Subject to Review By State Under Executive Order 12372 Process? <input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/> <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. <input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372 | |
| * 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes", provide explanation and attach: <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="New Attachment"/> | |
| 21. "By signing this application, I certify (1) to the statements contained in the list of certifications" and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances" and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 213, Section 1001) <input checked="" type="checkbox"/> " I AGREE <small>** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</small> | |
| Authorized Representative: | |
| Print: | <input type="text" value="Mr. P. J. Smith"/> |
| Middle Name: | <input type="text" value="Jr."/> |
| * Last Name: | <input type="text" value="Smith"/> |
| Street: | <input type="text" value="123 Main St."/> |
| * Title: | <input type="text" value="Mayor"/> |
| * Telephone Number: | <input type="text" value="516-765-4321"/> |
| * Fax Number: | <input type="text" value="516-765-4322"/> |
| * Email: | <input type="text" value="p.j.smith@cityofutica.gov"/> |
| * Signature of Authorized Representative: | <input type="text" value="P. J. Smith"/> |
| * Date Signed: | <input type="text" value="04/01/2020"/> |

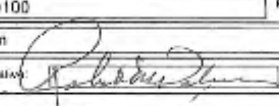
| Application for Federal Assistance SF-424 | | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|--------------|
| * 1. Type of Submission <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application | | * 2. Type of Application <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision | |
| | | * 3. Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/> | |
| * 4. Date Received 8/11/6/2020 | | 4. Applicant Identifier C-20-WO-10-0110 | |
| 5a. Federal Entity Identifier <input type="text"/> | | 5b. Federal Award Identifier <input type="text"/> | |
| State Use Only: | | | |
| 6. Date Received by State <input type="text"/> | | 7. State Application Identifier <input type="text"/> | |
| B. APPLICANT INFORMATION: | | | |
| * a. Legal Name City of Utica, New York | | | |
| * b. Employer/Taxpayer Identification Number (EIN/TIN) 15-8009-418 | | * c. Organizational DUNS 06078195790171 | |
| d. Address: | | | |
| * Street1 | 1 Kennedy Plaza | | |
| * Street2 | <input type="text"/> | | |
| * City | Utica | | |
| * County/Parish | <input type="text"/> | | |
| * State | NY: New York | | |
| * Province | <input type="text"/> | | |
| * Country | USA: UNITED STATES | | |
| * Zip/Postal Code | 13502-8235 | | |
| e. Organizational Unit: | | | |
| Department Name Urban and Economic Development | | Division Name <input type="text"/> | |
| f. Name and contact information of person to be contacted on matters involving this application: | | | |
| Prefix | Mr. | * First Name | John |
| Middle Name | <input type="text"/> | | |
| * Last Name | Thomas | | |
| Suffix | <input type="text"/> | | |
| Title | Commissioner, Urban and Economic Development | | |
| Organizational Affiliation <input type="text"/> | | | |
| * Telephone Number | 315-792-6151 | * Fax Number | 315-792-6803 |
| * Email johnthomas@utica.gov | | | |

| Application for Federal Assistance SF-424 | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| * 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="City or Township Government"/> | |
| Type of Applicant 2: Select Applicant Type: <input type="text"/> | |
| Type of Applicant 3: Select Applicant Type: <input type="text"/> | |
| * DHEI (optional): <input type="text"/> | |
| * 10. Name of Federal Agency: <input type="text" value="U.S. Dept. of Housing & Urban Development"/> | |
| 11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14-218"/> | |
| CFDA Title: <input type="text" value="Emergency Solutions Grant"/> | |
| * 12. Funding Opportunity Number: <input type="text" value=""/> | |
| * Title: <input type="text"/> | |
| 13. Competition Identification Number: <input type="text"/> | |
| Title: <input type="text"/> | |
| 14. Areas Affected by Project (Cities, Counties, States, etc.): <div> <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </div> | |
| * 15. Descriptive Title of Applicant's Project: <input type="text" value="City of Utica, New York, Community Development Block Grant Appeal Plan"/> | |
| Attach supporting documents as specified in agency instructions <div> <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/> </div> | |

| | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| Application for Federal Assistance SF-424 | |
| 16. Congressional Districts Of: | |
| * a Applicant <input type="text" value="11"/> | * b Program/Project <input type="text" value="11"/> |
| Attach an additional list of Program/Project Congressional Districts if needed | |
| <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Remove Attachment"/> <input type="button" value="Download Attachment"/> | |
| 17. Proposed Project: | |
| * a Start Date <input type="text" value="5/1/2020"/> | * b End Date <input type="text" value="4/30/21"/> |
| 18. Estimated Funding (\$): | |
| * a Federal | <input type="text" value="215,150,000"/> |
| * b Applicant | <input type="text" value="0"/> |
| * c State | <input type="text" value="0"/> |
| * d Local | <input type="text" value="0"/> |
| * e Other | <input type="text" value="0"/> |
| * f Program Income | <input type="text" value="0"/> |
| * g TOTAL | <input type="text" value="215,150,000"/> |
| * 19. Is Application Subject to Review By State Under Executive Order 12372 Process? <input type="checkbox"/> a This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/> <input type="checkbox"/> b Program is subject to E.O. 12372 but has not been selected by the State for review <input checked="" type="checkbox"/> c Program is not covered by E.O. 12372 | |
| * 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," provide explanation and attach <input type="text"/> <input type="button" value="Full Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> | |
| 21. "By signing this application, I certify (1) to the statements contained in the list of certifications" and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances" and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001) <input checked="" type="checkbox"/> ** I AGREE <small>** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</small> | |
| Authorized Representative: | |
| Prefix <input type="text" value="Mr."/> | * First Name <input type="text" value="Robert"/> |
| Middle Name <input type="text" value="L."/> | |
| * Last Name <input type="text" value="Gallagher"/> | |
| Suffix <input type="text"/> | |
| * Title <input type="text" value="City Manager"/> | |
| * Telephone Number <input type="text" value="516-784-4000"/> | * Fax Number <input type="text" value="516-784-4000"/> |
| * Email <input type="text" value="r.gallagher@utica-ny.gov"/> | |
| * Signature of Authorized Representative  | * Date Signed <input type="text" value="4/29/2020"/> |

| Application for Federal Assistance SF-424 | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|---------------------------------------------------------|
| <div> <div> * 1. Type of Submission <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application </div> <div> * 2. Type of Application <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision </div> <div> * If Revision, select appropriate letter(s) <input type="text"/> * Other (Specify) <input type="text"/> </div> </div> | | |
| * 3. Date Received 05/21/2020 | | * 4. Applicant Identifier E-20-MC-36-0010 |
| 5a. Federal Entity Identifier: <input type="text"/> | | * 5b. Federal Award Identifier: <input type="text"/> |
| State Use Only: | | |
| 6. Date Received by State: <input type="text"/> | | 7. State Application Identifier: <input type="text"/> |
| 8. APPLICANT INFORMATION: | | |
| * a. Legal Name: City of Utica, New York | | |
| * b. Employer/Taxpayer Identification Number (EIN/TIN): 15-8000-418 | | * c. Organizational DUNS: 0107599590000 |
| d. Address: | | |
| * Street1: | 1 Kennedy Plaza | |
| * Street2: | <input type="text"/> | |
| * City: | Utica | |
| * County: | Oneida | |
| * State: | New York | |
| * Province: | <input type="text"/> | |
| * Country: | USA: UNITED STATES | |
| * Zip / Postal Code: | 13502-4234 | |
| e. Organizational Unit: | | |
| Department Name: Department of Urban & Economic Development | | Division Name: <input type="text"/> |
| f. Name and contact information of person to be contacted on matters involving this application: | | |
| Prefix: | Mr. | * First Name: Brian |
| Middle Name: | <input type="text"/> | |
| * Last Name: | Thomas | |
| Suffix: | <input type="text"/> | |
| Title: | Commissioner of Urban & Economic Development | |
| Organizational Affiliation: <input type="text"/> | | |
| * Telephone Number: | 315-792-0185 | * Fax Number: 315-797-6607 |
| * Email: | bthomas@cityofutica.com | |

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

| Application for Federal Assistance SF-424 | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| 16. Congressional Districts Of: | |
| * a. Applicant 24 | * b. Program/Project 24 |
| Attach an additional list of Program/Project Congressional Districts if needed: <div style="border: 1px solid black; height: 15px; width: 100%;"></div> | |
| 17. Proposed Project: | |
| * a. Start Date: 03/27/2020 | * b. End Date: 03/31/2021 |
| 18. Estimated Funding (\$): | |
| * a. Federal 743966 | |
| * b. Applicant | |
| * c. State | |
| * d. Local | |
| * e. Other | |
| * f. Program income | |
| * g. TOTAL 743966 | |
| * 19. Is Application Subject to Review By State Under Executive Order 12372 Process? | |
| <input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <div style="border: 1px solid black; width: 50px; height: 15px;"></div> | |
| <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. | |
| <input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372. | |
| * 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.) Applicant Federal Debt Delinquency Explanation | |
| <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| 21. "By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001) | |
| <input checked="" type="checkbox"/> ** I AGREE | |
| ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions. | |
| Authorized Representative: | |
| Prefix: Mr. | * First Name: Robert |
| Middle Name: M. | |
| * Last Name: Palmieri | |
| Suffix: | |
| * Title: Mayor, City of Utica | |
| * Telephone Number: 315-792-0100 | Fax Number: 315-734-9250 |
| * Email: rpalmieri@cityofutica.com | |
| * Signature of Authorized Representative:  | * Date Signed: 03/21/2020 |

| Application for Federal Assistance SF-424 | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|------------------------------------------------------------|
| * 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application | | |
| * 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision | | |
| * If Revision, select appropriate letter(s): <input type="text"/> | | |
| * Other (Specify): <input type="text"/> | | |
| * 3. Date Received: 06/18/2020 | | * 4. Applicant Identifier: B-20-MC-36-0110 |
| * 5a. Federal Entity Identifier: <input type="text"/> | | * 5b. Federal Award Identifier: <input type="text"/> |
| State Use Only: | | |
| * 6. Date Received by State: <input type="text"/> | | * 7. State Application Identifier: <input type="text"/> |
| B. APPLICANT INFORMATION: | | |
| * a. Legal Name: City of Utica, New York | | |
| * b. Employer/Trustee Identification Number (EIN/TIN): 15-60000-418 | | * c. Organizational OUNS: 0107599590000 |
| * d. Address: | | |
| * Street: 1 Kennedy Plaza | | |
| * Street2: <input type="text"/> | | |
| * City: Utica | | |
| * County: <input type="text"/> | | |
| * State: NY | | |
| * Province: <input type="text"/> | | |
| * Country: USA - UNITED STATES | | |
| * Zip / Postal Code: 13502-4234 | | |
| * e. Organizational Unit: | | |
| Department Name: Urban & Economic Development | | Division Name: <input type="text"/> |
| I. Name and contact information of person to be contacted on matters involving this application: | | |
| Prefix: Mr. First Name: Brian | | |
| Middle Name: | | |
| Last Name: Thomas | | |
| Suffix: | | |
| Title: Commissioner of Urban & Economic Development | | |
| Organizational Affiliation: | | |
| <input type="text"/> | | |
| * Telephone Number: 315-792-0185 | | Fax Number: 315-797-8607 |
| * Email: bthomas@cityofutica.com | | |

| | |
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| Application for Federal Assistance SF-424 | |
| 9. Type of Applicant 1: Select Applicant Type: | |
| C: City or Township Government | |
| Type of Applicant 2: Select Applicant Type: | |
| | |
| Type of Applicant 3: Select Applicant Type: | |
| | |
| * Other (specify): | |
| | |
| * 10. Name of Federal Agency: | |
| US Dept. of Housing & Urban Development | |
| 11. Catalog of Federal Domestic Assistance Number: | |
| 14-218 | |
| CFDA Title: | |
| Community Developmet Block Grant | |
| * 12. Funding Opportunity Number: | |
| | |
| * Title: | |
| | |
| 13. Competition Identification Number: | |
| | |
| Title: | |
| | |
| 14. Areas Affected by Project (Cities, Counties, States, etc.): | |
| City of Utica, New York in Oneida County | |
| * 15. Descriptive Title of Applicant's Project: | |
| City of Utica, New York PY2020 CARES Act Amendment CDBG-CV | |
| Attach supporting documents as specified in agency instructions. | |

| | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|
| Application for Federal Assistance SF-424 | |
| 16. Congressional Districts Of: | |
| * a. Applicant 24 | * b. Program/Project 24 |
| Attach an additional list of Program/Project Congressional Districts if needed: | |
| 17. Proposed Project: | |
| * a. Start Date 03/27/2020 | * b. End Date 06/18/2022 |
| 18. Estimated Funding (\$): | |
| * a. Federal 1510166 | |
| * b. Applicant | |
| * c. State | |
| * d. Local | |
| * e. Other | |
| * f. Program Income | |
| * g. TOTAL 1510166 | |
| * 19. Is Application Subject to Review By State Under Executive Order 12372 Process? | |
| <input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on: | |
| <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. | |
| <input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372. | |
| * 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.) Applicant Federal Debt Delinquency Explanation | |
| <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| 21. "By signing this application, I certify (1) to the statements contained in the list of certifications" and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances" and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001) | |
| <input checked="" type="checkbox"/> I AGREE | |
| "The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions. | |
| Authorized Representative: | |
| Prefix: Mr. | * First Name: Robert |
| Middle Name: M. | |
| * Last Name: Palmieri | |
| Suffix: | |
| * Title: Mayor, City of Utica | |
| * Telephone Number: 315-792-0100 | * Fax Number: 315-734-9250 |
| * Email: mayor@cityofutica.com | |
| * Signature of Authorized Representative: [Signature] | * Date Signed: 06/18/2020 |

COMMUNITY DEVELOPMENT BLOCK GRANT

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Approval No. 0348-0042

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

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4726-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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Standard Form 4240 (Rev. 7-87)
Prescribed by OMB Circular A-102

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11890; (d) evaluation of flood hazards in floodplains in accordance with EO 11886; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1998 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

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

SF-4245 (Rev. 7-97) Back

HOME INVESTMENT PARTNERSHIP

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Approval No. 0348-0042

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications, and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 930, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3501 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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Prescribed by OMB Circular A-102

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1506 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
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16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
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18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

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

SF-424D (Rev. 1-97) Back

Emergency Solutions Grant
ASSURANCES - CONSTRUCTION PROGRAMS

OMB Approval No. 0348-0042

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

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2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
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Prescribed by OMB Circular A-102

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1506 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(s) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11980; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§468a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

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

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ES9-CV

OMB Approval No. 0348-0042

ASSURANCES - CONSTRUCTION PROGRAMS

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

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et. seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§293 cd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

Previous Edition Usable

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

11. Will comply, or has already complied, with the requirements of Titles (i) and (ii) of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(s) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§489a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

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

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


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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 d-3 and 290 d-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.) as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
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18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

| | | |
|------------------------------------------------------------------------------------------------------------------------------------|--|-----------------------------------------|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL  | | TITLE Mayor, City of Utica, New York |
| APPLICANT ORGANIZATION City of Utica, New York | | DATE SUBMITTED June 18, 2020 |

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(120-VI-FGCAH Second Edition, April 2004)

500-1-110.2

CERTIFICATIONS

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

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

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

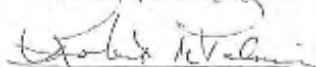
Anti-Lobbying -- To the best of the jurisdiction's knowledge and belief:

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

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

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

Section 3 -- It will comply with section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701-1704) and implementing regulations at 24 CFR Part 135.


Signature of Authorized Official

03/18/2020
Date

Mayor, City of Utica, New York
Title

Specific Community Development Block Grant Certifications

The Entitlement Community certifies that:

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

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

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

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

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

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

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

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

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

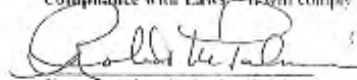
Excessive Force -- It has adopted and is enforcing:

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

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

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

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


Signature of Authorized Official

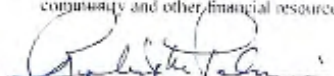
03/16/2020
Date

Mayor, City of Utica, New York
Title

OPTIONAL Community Development Block Grant Certification

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

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



Signature of Authorized Official

03/18/2020

Date

Mayor, City of Utica, New York

Title

Specific HOME Certifications

The HOME participating jurisdiction certifies that:

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

Eligible Activities and Costs -- It is using and will use HOME funds for eligible activities and costs, as described in 24 CFR §§92.305 through 92.309 and that it is not using and will not use HOME funds for prohibited activities, as described in §92.314.

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


Signature of Authorized Official

03/18/2020
Date

Mayor, City of Utica, New York
Title

Emergency Solutions Grants Certifications

The Emergency Solutions Grants Program recipient certifies that:

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

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

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

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

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

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


Matching Funds – The recipient will obtain matching amounts required under 24 CFR 578.201.

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

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

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

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


Signature of Authorized Official

03/16/2020
Date

Mayor, City of Utica, New York
Title

APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING CERTIFICATION

Lobbying Certification

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 11, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

INTERIM ESG-CV Certifications (NON-STATE)

The Emergency Sheltering Grants Program Recipient certifies that:

Major rehabilitation/conversion – If an emergency shelter's rehabilitation costs exceed 75 percent of the value of the building before rehabilitation, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed rehabilitation. If the cost to convert a building into an emergency shelter exceeds 75 percent of the value of the building after conversion, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 10 years after the date the building is first occupied by a homeless individual or family after the completed conversion. In all other cases where ESG funds are used for renovation, the jurisdiction will maintain the building as a shelter for homeless individuals and families for a minimum of 5 years after the date the building is first occupied by a homeless individual or family after the completed renovation.

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

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

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

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

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

Matching Funds – The jurisdiction will obtain matching amounts required under 24 CFR 576.204.

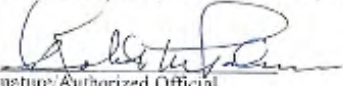
Confidentiality – The jurisdiction has established and is implementing procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release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

the written authorization of the person responsible for the operation of that shelter.

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

Consolidated Plan – All activities the jurisdiction undertakes with assistance under ESG are consistent with the jurisdiction's consolidated plan.

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

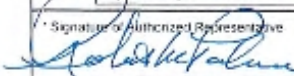

Signature/Authorized Official

05/21/2020
Date

Mayor
Title

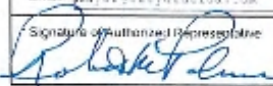
| Application for Federal Assistance SF-424 | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|----------------------------------------------------|
| <div> <div> * 1. Type of Submission <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application </div> <div> * 2. Type of Application <input type="checkbox"/> New <input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Revision </div> <div> * If Revision, select appropriate letter(s): <input type="text"/> B: Decrease Award * Other (Specify): <input type="text"/> </div> </div> | | |
| <div> * 3. Date Received: <input type="text"/> 4. Applicant Identifier: <input type="text"/> </div> | | |
| 5a. Federal Entity Identifier: <input type="text"/> | | 5b. Federal Award Identifier: <input type="text"/> |
| State Use Only: 6. Date Received by State: <input type="text"/> 7. State Application Identifier: <input type="text"/> | | |
| 8. APPLICANT INFORMATION: | | |
| * a. Legal Name: <input type="text"/> | | |
| * b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text"/> | | * c. Organizational DUNS: <input type="text"/> |
| d. Address: | | |
| * Street1: <input type="text"/> | | |
| Street2: <input type="text"/> | | |
| * City: <input type="text"/> | | |
| County/Parish: <input type="text"/> | | |
| * State: <input type="text"/> | | |
| Province: <input type="text"/> | | |
| * Country: <input type="text"/> | | |
| * Zip / Postal Code: <input type="text"/> | | |
| e. Organizational Unit: | | |
| Department Name: <input type="text"/> | | Division Name: <input type="text"/> |
| f. Name and contact information of person to be contacted on matters involving this application: | | |
| Prefix: <input type="text"/> * First Name: <input type="text"/> | | |
| Middle Name: <input type="text"/> | | |
| * Last Name: <input type="text"/> | | |
| Suffix: <input type="text"/> | | |
| Title: <input type="text"/> | | |
| Organizational Affiliation: <input type="text"/> | | |
| * Telephone Number: <input type="text"/> | | Fax Number: <input type="text"/> |
| * Email: <input type="text"/> | | |

| Application for Federal Assistance SF-424 | |
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| * 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="City or Township Government"/> | |
| Type of Applicant 2: Select Applicant Type: <input type="text"/> | |
| Type of Applicant 3: Select Applicant Type: <input type="text"/> | |
| * Other (specify): <input type="text"/> | |
| * 10. Name of Federal Agency: <input type="text" value="US Department of Housing & Urban Development"/> | |
| 11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14-213"/> | |
| CFDA Title: <input type="text" value="Community Development Block Grant"/> | |
| * 12. Funding Opportunity Number: <input type="text"/> | |
| * Title: <input type="text"/> | |
| 13. Competition Identification Number: <input type="text"/> | |
| Title: <input type="text"/> | |
| 14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text"/> <div> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachments"/> </div> | |
| * 15. Descriptive Title of Applicant's Project: <input type="text" value="City of Utica, New York 2020-2021 Annual Action Plan"/> | |
| Attach supporting documents as specified in agency instructions <div> <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/> </div> | |

| Application for Federal Assistance SF-424 | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|
| 16. Congressional Districts Of: | |
| * a. Applicant <input type="text" value="24"/> | * b. Program/Project <input type="text" value="24"/> |
| Attach an additional list of Program/Project Congressional Districts if needed: | |
| <input type="text"/> | <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> |
| 17. Proposed Project: | |
| * a. Start Date <input type="text" value="04/01/2021"/> | * b. End Date <input type="text" value="03/31/2021"/> |
| 18. Estimated Funding (\$): | |
| * a. Federal | <input type="text" value="2,546,751.00"/> |
| * b. Applicant | <input type="text" value=""/> |
| * c. State | <input type="text" value=""/> |
| * d. Local | <input type="text" value=""/> |
| * e. Other | <input type="text" value=""/> |
| * f. Program Income | <input type="text" value="280,000.00"/> |
| * g. TOTAL | <input type="text" value="2,846,751.00"/> |
| * 19. Is Application Subject to Review By State Under Executive Order 12372 Process? | |
| <input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/> | |
| <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. | |
| <input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372. | |
| * 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.) | |
| <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| If "Yes", provide explanation and attach: | |
| <input type="text"/> | <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> |
| 21. "By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 210, Section 1001) | |
| <input checked="" type="checkbox"/> ** I AGREE | |
| ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions. | |
| Authorized Representative: | |
| Prefix: <input type="text" value="Mr."/> | * First Name: <input type="text" value="Robert"/> |
| Middle Name: <input type="text" value="H."/> | |
| * Last Name: <input type="text" value="Palmieri"/> | |
| Suffix: <input type="text"/> | |
| * Title: <input type="text" value="Mayor, City of Utica, New York"/> | |
| * Telephone Number: <input type="text" value="315-792-0100"/> | Fax Number: <input type="text" value="315-794-2250"/> |
| * Email: <input type="text" value="robert.palmieri@utica.ny.us"/> | |
| * Signature of Authorized Representative:  | * Date Signed: <input type="text" value="04-01-2021"/> |


| Application for Federal Assistance SF-424 | | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|------------------------------------------------------------------|
| * 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application | | |
| * 2. Type of Application: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Revision | | |
| * 3. Revision, select appropriate letter(s): B: Decrease Award * Other (Specify): | | |
| * 3. Date Received: 11-20-2021 | | 4. Applicant Identifier: 11-20-2021-11-20-2021 |
| 5a. Federal Entity Identifier: 11-20-2021-11-20-2021 | | 5b. Federal Award Identifier: 11-20-2021-11-20-2021 |
| State Use Only: | | |
| 6. Date Received by State: 11-20-2021 | | 7. State Application Identifier: 11-20-2021-11-20-2021 |
| 8. APPLICANT INFORMATION: | | |
| * a. Legal Name: City of Utica, New York | | |
| * b. Employer/Taxpayer Identification Number (EIN/TIN): 15-0000-111 | | * c. Organizational OUNS: 010759550000 |
| d. Address: | | |
| * Street1: 1 Kennedy Plaza | | |
| * Street2: | | |
| * City: Utica | | |
| * County/Parish: Oneida | | |
| * State: NY: New York | | |
| * Province: | | |
| * Country: USA: UNITED STATES | | |
| * Zip / Postal Code: 13502-4234 | | |
| e. Organizational Unit: | | |
| Department Name: Urban & Economic Development | | Division Name: |
| f. Name and contact information of person to be contacted on matters involving this application: | | |
| Prefix: Mr. * First Name: Brian | | |
| Middle Name: | | |
| * Last Name: Thomas | | |
| Suffix: | | |
| Title: Commissioner of Urban & Economic Development | | |
| Organizational Affiliation: | | |
| * Telephone Number: 315-797-0181 | | * Fax Number: 315-797-0007 |
| * Email: bthomas@utica.ny.gov | | |

| Application for Federal Assistance SF-424 | |
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| * 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="City of Township Government"/> | |
| Type of Applicant 2: Select Applicant Type: <input type="text"/> | |
| Type of Applicant 3: Select Applicant Type: <input type="text"/> | |
| * Other (specify): <input type="text"/> | |
| * 10. Name of Federal Agency: <input type="text" value="US Department of Housing & Urban Development"/> | |
| 11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14-219"/> | |
| CFDA Title: <input type="text" value="HOME Investment Partnership Program"/> | |
| * 12. Funding Opportunity Number: <input type="text"/> | |
| * Title: <input type="text"/> | |
| 13. Competition Identification Number: <input type="text"/> | |
| Title: <input type="text"/> | |
| 14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text"/> <div> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachments"/> </div> | |
| * 15. Descriptive Title of Applicant's Project: <input type="text" value="City of Utica, New York 2020-2021 Annual Action Plan"/> | |
| Attach supporting documents as specified in agency instructions. <div> <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/> </div> | |

| Application for Federal Assistance SF-424 | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 16. Congressional Districts Of: | |
| * a. Applicant <input type="text" value="24"/> | * b. Program/Project <input type="text" value="21"/> |
| Attach an additional list of Program/Project Congressional Districts if needed | |
| <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> | |
| 17. Proposed Project: | |
| * a. Start Date: <input type="text" value="04/01/2020"/> | * b. End Date: <input type="text" value="03/31/2021"/> |
| 18. Estimated Funding (\$): | |
| * a. Federal | <input type="text" value="658,393.00"/> |
| * b. Applicant | <input type="text"/> |
| * c. State | <input type="text"/> |
| * d. Local | <input type="text"/> |
| * e. Other | <input type="text"/> |
| * f. Program Income | <input type="text"/> |
| * g. TOTAL | <input type="text" value="658,393.00"/> |
| * 19. Is Application Subject to Review By State Under Executive Order 12372 Process? <input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/> <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. <input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372 | |
| * 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes," provide explanation and attach <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> | |
| 21. "By signing this application, I certify (1) to the statements contained in the list of certifications" and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances" and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 28, Section 1001) <input checked="" type="checkbox"/> ** I AGREE <small>** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions</small> | |
| Authorized Representative: | |
| Prefix: <input type="text" value="Mr."/> | * First Name: <input type="text" value="Robert"/> |
| Middle Name: <input type="text" value="H."/> | |
| * Last Name: <input type="text" value="Palmieri"/> | |
| Suffix: <input type="text"/> | |
| * Title: <input type="text" value="Mayor, City of Utica, New York"/> | |
| * Telephone Number: <input type="text" value="315-792-6100"/> | Fax Number: <input type="text" value="315-724-9220"/> |
| * Email: <input type="text" value="jpa/04@cityofutica.com"/> | |
| Signature of Authorized Representative:  | * Date Signed: <input type="text" value="01/29/2021"/> |

| Application for Federal Assistance SF-424 | | |
|------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| * 1. Type of Submission: | | |
| <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application | | |
| * 2. Type of Application: | | |
| <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision | | |
| * If Revision, select appropriate letter(s): | | |
| <input type="text"/> | | |
| * Other (Specify): | | |
| <input type="text"/> | | |
| * 3. Date Received: | | |
| <input type="text"/> | | |
| 4. Applicant Identifier: | | |
| <input type="text"/> | | |
| 5a. Federal Entity Identifier: | | |
| <input type="text"/> | | |
| 5b. Federal Award Identifier: | | |
| <input type="text"/> | | |
| State Use Only: | | |
| 6. Date Received by State: | | |
| <input type="text"/> | | |
| 7. State Application Identifier: | | |
| <input type="text"/> | | |
| 8. APPLICANT INFORMATION: | | |
| * a. Legal Name: | | |
| City of Utica, New York | | |
| * b. Employer/Taxpayer Identification Number (EIN/TIN): | | |
| 15-8000-418 | | |
| * c. Organizational DUNS: | | |
| 0107599590000 | | |
| d. Address: | | |
| * Street1: | | |
| 1 Kennedy Plaza | | |
| Street2: | | |
| | | |
| * City: | | |
| Utica | | |
| County/Parish: | | |
| | | |
| * State: | | |
| New York | | |
| Province: | | |
| | | |
| * Country: | | |
| USA: UNITED STATES | | |
| * Zip / Postal Code: | | |
| 13502-4234 | | |
| e. Organizational Unit: | | |
| Department Name: | | |
| Urban & Economic Development | | |
| Division Name: | | |
| | | |
| f. Name and contact information of person to be contacted on matters involving this application: | | |
| Prefix: | | |
| Mr. | | |
| * First Name: | | |
| Robert | | |
| Middle Name: | | |
| M. | | |
| * Last Name: | | |
| Palmieri | | |
| Suffix: | | |
| | | |
| Title: | | |
| Mayor - City of Utica, New York | | |
| Organizational Affiliation: | | |
| | | |
| * Telephone Number: | | |
| 315-792-0100 | | |
| Fax Number: | | |
| 315-734-9250 | | |
| * Email: | | |
| mayor@cityofutica.com | | |

| Application for Federal Assistance SF-424 | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| * 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="C: City or Township Government"/> | |
| Type of Applicant 2: Select Applicant Type: <input type="text"/> | |
| Type of Applicant 3: Select Applicant Type: <input type="text"/> | |
| * Other (specify): <input type="text"/> | |
| * 10. Name of Federal Agency: <input type="text" value="United States Department of Housing & Urban Development"/> | |
| 11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14-218"/> CFDA Title: <input type="text" value="Community Development Block Grant"/> | |
| * 12. Funding Opportunity Number: <input type="text"/> | |
| * Title: <input type="text"/> | |
| 13. Competition Identification Number: <input type="text"/> Title: <input type="text"/> | |
| 14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text"/> <div> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </div> | |
| * 15. Descriptive Title of Applicant's Project: <input type="text" value="City of Utica, New York PY2020 CARES Act Amendment CDBG-CV"/> | |
| Attach supporting documents as specified in agency instructions. <div> <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/> </div> | |

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|
| Application for Federal Assistance SF-424 | |
| 16. Congressional Districts Of: | |
| * a. Applicant: 24 | * b. Program/Project: 24 |
| Attach an additional list of Program/Project Congressional Districts if needed. | |
| <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> | |
| 17. Proposed Project: | |
| * a. Start Date: 5/27/20 | * b. End Date: 6/18/22 |
| 18. Estimated Funding (\$): | |
| * a. Federal | 2,189,742.00 |
| * b. Applicant | |
| * c. State | |
| * d. Local | |
| * e. Other | |
| * f. Program Income | |
| * g. TOTAL | 2,189,742.00 |
| * 19. Is Application Subject to Review By State Under Executive Order 12372 Process? | |
| <input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input type="text"/> . | |
| <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. | |
| <input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372. | |
| * 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.) | |
| <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | |
| If "Yes", provide explanation and attach | |
| <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> | |
| 21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) | |
| <input checked="" type="checkbox"/> ** I AGREE | |
| ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions. | |
| Authorized Representative: | |
| Prefix: Mr. | * First Name: Robert |
| Middle Name: M. | |
| * Last Name: Palmieri | |
| Suffix: | |
| * Title: Mayor - City of Utica, New York | |
| * Telephone Number: 315-792-0100 | Fax Number: 315-734-9250 |
| * Email: mayor@cityofutica.com | |
| * Signature of Authorized Representative:  | * Date Signed: 5/18/21 |

CDBG - CV

View Burden Statement

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number 4340-0006
Expiration Date: 02/28/2022

Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (5348-0042), Washington, DC 20503.

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

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

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


1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance, and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms or the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4729-4752) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 300, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4901 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1693, and 1685-1689), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-515), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§502 and 527 of the Public Health Service Act of 1944 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

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Prescribed by OMB Circular A-102

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11590; (d) evaluation of flood hazards in floodplains in accordance with EO 11888; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11583 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

| | |
|------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL  | TITLE Mayor |
| APPLICANT ORGANIZATION City of Utica, New York | DATE SUBMITTED 2-22-2021 |

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COVID

CDBG-CY

CERTIFICATIONS

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

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

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

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

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

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

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

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


Signature of Authorized Official

2/18/21
Date

Mayor
Title

CDBG - CV

Specific Community Development Block Grant Certifications

The Jurisdiction Community certifies that:

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

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

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

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

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

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

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

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

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


Excessive Force -- It has adopted and is enforcing:

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

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

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

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



Signature of Authorized Official

2/18/21

Date

Mayor

Title

CDBG-CV

OPTIONAL Community Development Block Grant Certification

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

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

Robert Palomino 2/18/21
Signature of Authorized Official Date

Mayor
Title

| Application for Federal Assistance SF-424 | | |
|---------------------------------------------------------------------------------------------------------|-----------------------------|-----------------------------------------------------|
| * 1. Type of Submission: | | |
| <input type="checkbox"/> Preapplication | | |
| <input checked="" type="checkbox"/> Application | | |
| <input type="checkbox"/> Changed/Corrected Application | | |
| * 2. Type of Application: | | * If Revision, select appropriate letter(s): |
| <input checked="" type="checkbox"/> New | | |
| <input type="checkbox"/> Continuation | | * Other (Specify): |
| <input type="checkbox"/> Revision | | |
| * 3. Date Received: | | 4. Applicant Identifier: |
| | | |
| 5a. Federal Entity Identifier: | | 5b. Federal Award Identifier: |
| | | |
| State Use Only: | | |
| 6. Date Received by State: | | 7. State Application Identifier: |
| | | |
| 8. APPLICANT INFORMATION: | | |
| * a. Legal Name: City of Utica, New York | | |
| * b. Employer/Taxpayer Identification Number (EIN/TIN): | | * c. Organizational DUNS: |
| 15-6000-418 | | 0107588500000 |
| d. Address: | | |
| * Street1: 1 Kennedy Plaza | | |
| Street2: | | |
| * City: Utica | | |
| County/Parish: | | |
| * State: New York | | |
| Province: | | |
| * Country: USA: UNITED STATES | | |
| * Zip / Postal Code: 13505-4234 | | |
| e. Organizational Unit: | | |
| Department Name: | | Division Name: |
| Urban & Economic Development | | |
| f. Name and contact information of person to be contacted on matters involving this application: | | |
| Prefix: | * First Name: Robert | |
| Middle Name: | M. | |
| * Last Name: | Palmieri | |
| Suffix: | | |
| Title: Mayor, City of Utica, New York | | |
| Organizational Affiliation: | | |
| | | |
| * Telephone Number: 315-792-0100 | | Fax Number: 315-797-6607 |
| * Email: mayor@cityofuticacom | | |

| Application for Federal Assistance SF-424 | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| * 9. Type of Applicant 1: Select Applicant Type: <input type="text" value="C: City or Township Government"/> | |
| Type of Applicant 2: Select Applicant Type: <input type="text"/> | |
| Type of Applicant 3: Select Applicant Type: <input type="text"/> | |
| * Other (specify): <input type="text"/> | |
| * 10. Name of Federal Agency: <input type="text" value="US Department of Housing & Urban Development"/> | |
| 11. Catalog of Federal Domestic Assistance Number: <input type="text" value="14-218"/> CFDA Title: <input type="text" value="Emergency Solutions Grant -CV III"/> | |
| * 12. Funding Opportunity Number: <input type="text"/> * Title: <input type="text"/> | |
| 13. Competition Identification Number: <input type="text"/> Title: <input type="text"/> | |
| 14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> | |
| * 15. Descriptive Title of Applicant's Project: <input type="text" value="City of Utica, New York Emergency Solutions Grant - CV III"/> | |
| Attach supporting documents as specified in agency instructions. <input type="button" value="Add Attachments"/> <input type="button" value="Delete Attachments"/> <input type="button" value="View Attachments"/> | |

| Application for Federal Assistance SF-424 | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|
| 16. Congressional Districts Of: | |
| * a. Applicant <input style="width: 50px;" type="text" value="24"/> | * b. Program/Project <input style="width: 50px;" type="text" value="24"/> |
| Attach an additional list of Program/Project Congressional Districts if needed. <div style="display: flex; justify-content: space-between; align-items: center;"> <input style="width: 150px;" type="text"/> <div> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </div> </div> | |
| 17. Proposed Project: | |
| * a. Start Date: <input style="width: 50px;" type="text" value="8/16/20"/> | * b. End Date: <input style="width: 50px;" type="text" value="6/1/20"/> |
| 18. Estimated Funding (\$): | |
| * a. Federal | <input style="width: 100px;" type="text" value="486089"/> |
| * b. Applicant | <input style="width: 100px;" type="text" value="0"/> |
| * c. State | <input style="width: 100px;" type="text" value="0"/> |
| * d. Local | <input style="width: 100px;" type="text" value="0"/> |
| * e. Other | <input style="width: 100px;" type="text" value="0"/> |
| * f. Program Income | <input style="width: 100px;" type="text" value=""/> |
| * g. TOTAL | 486089 |
| * 19. Is Application Subject to Review By State Under Executive Order 12372 Process? <input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on <input style="width: 50px;" type="text"/> . <input type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. <input checked="" type="checkbox"/> c. Program is not covered by E.O. 12372. | |
| * 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If "Yes", provide explanation and attach <div style="display: flex; justify-content: space-between; align-items: center;"> <input style="width: 150px;" type="text"/> <div> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </div> </div> | |
| 21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) <input checked="" type="checkbox"/> ** I AGREE | |
| ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions. | |
| Authorized Representative: | |
| Prefix: <input style="width: 50px;" type="text"/> | * First Name: <input style="width: 150px;" type="text" value="Robert"/> |
| Middle Name: <input style="width: 150px;" type="text" value="M."/> | |
| * Last Name: <input style="width: 200px;" type="text" value="Palmieri"/> | |
| Suffix: <input style="width: 50px;" type="text"/> | |
| * Title: <input style="width: 150px;" type="text" value="Mayor, City of Utica"/> | |
| * Telephone Number: <input style="width: 100px;" type="text" value="315-792-0100"/> | Fax Number: <input style="width: 100px;" type="text"/> |
| * Email: <input style="width: 150px;" type="text" value="mayor@cityofuticacom"/> | |
| * Signature of Authorized Representative: | * Date Signed: <input style="width: 50px;" type="text" value="8/11/20"/> |

ESG-CV III

View Burden Statement

ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0009
Expiration Date: 02/28/2022

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

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

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

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

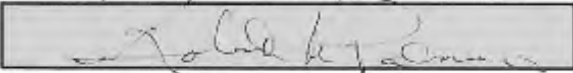
1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
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Prescribed by OMB Circular A-102

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7326) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
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15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11888; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
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18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

| | |
|-------------------------------------------------------------------------------------|--------------------------------|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL | TITLE |
|  | Mayor, City of Utica, New York |
| APPLICANT ORGANIZATION | DATE SUBMITTED |
| City of Utica, New York | 8/11/21 |

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APPENDIX - ALTERNATE/LOCAL DATA SOURCES

| | |
|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | DATA SOURCE NAME GENERAL COMMUNITY SURVEY |
| | LIST THE NAME OF THE ORGANIZATION OR INDIVIDUAL WHO ORIGINATED THE DATA SET. 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. |
| | PROVIDE A BRIEF SUMMARY OF THE DATA SET. 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. 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. |
| | WHAT WAS THE PURPOSE FOR DEVELOPING THIS DATA SET? 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 |
| | PROVIDE THE YEAR (AND OPTIONALLY MONTH, OR MONTH AND DAY) FOR WHEN THE DATA WAS COLLECTED. SURVEYS WERE CONDUCTED OPEN TO THE PUBLIC BETWEEN NOVEMBER 2014 AND JANUARY 2015. |
| | BRIEFLY DESCRIBE THE METHODOLOGY FOR THE DATA COLLECTION. 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. |
| | DESCRIBE THE TOTAL POPULATION FROM WHICH THE SAMPLE WAS TAKEN. 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. |
| | 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. |

GRANTEE SF-424s and CERTIFICATIONS

*See attached