

**5-Year PHA Plan
(for All PHAs)**

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

OMB No. 2577-0226
Expires: 02/29/2016

Purpose. The 5-Year and Annual PHA Plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission, goals and objectives for serving the needs of low- income, very low- income, and extremely low- income families

Applicability. Form HUD-50075-5Y is to be completed once every 5 PHA fiscal years by all PHAs.

A.	PHA Information.																				
A.1	<p>PHA Name: <u>Municipal Housing Authority of the City of Utica, New York</u> PHA Code: <u>NY006</u></p> <p>PHA Plan for Fiscal Year Beginning: (MM/YYYY): <u>01/01/2020</u></p> <p>PHA Plan Submission Type: <input checked="" type="checkbox"/> 5-Year Plan Submission <input type="checkbox"/> Revised 5-Year Plan Submission</p> <p>Availability of Information. In addition to the items listed in this form, PHAs must have the elements listed below readily available to the public. A PHA must identify the specific location(s) where the proposed PHA Plan, PHA Plan Elements, and all information relevant to the public hearing and proposed PHA Plan are available for inspection by the public. Additionally, the PHA must provide information on how the public may reasonably obtain additional information on the PHA policies contained in the standard Annual Plan, but excluded from their streamlined submissions. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on their official websites. PHAs are also encouraged to provide each resident council a copy of their PHA Plans.</p> <p><i>The draft Agency Plan for FY 2020/Five Year Plan FY 2020-2024 was available for public review at the UMHA Central office and each development's management office. Copies were distributed to the resident associations and the Resident Advisory Board. Pursuant to HUD regulations, a legal notice was published in the newspaper of general circulation on August 16 and 17, 2019 announcing the public hearing on October 9, 2019 and seeking comments on the Annual/Five Year Plan as well as the Admissions and Continued Occupancy Plan, Rental Assistance Demonstration program, public housing and assisted leases for the Chancellor Apartments and Low-Income Housing Tax Credit projects, Family Self-Sufficiency (FSS) Action Plan, Chancellor Apartment Tenant Selection Plan and Housing Choice (HCV) Administrative Plan. Notices were placed on the UMHA Facebook Page regarding resident meetings in connection with the Annual Plan.</i></p> <p><i>In conjunction with our Resident Advisory Board and Resident Associations, the UMHA convened meetings at our various housing developments on the following dates to review the Annual Plan and other policy documents:</i></p> <p>Resident Roundtable/Advisory Board Meetings</p> <ul style="list-style-type: none"> • Thursday, August 22, 2019 – 4:00 p.m. - Marino Ruggiero Apartments Community Room, 415 Bleecker St., Utica, NY 13501; • Thursday, August 29, 2019 – 6:00 p.m. - Humphrey Gardens Community Room, 225 Herkimer Rd. Utica, NY 13502; • Wednesday, September 4, 2019 - 5:00 p.m. - Chancellor Apartments, Community Room, 417 Bleecker Street, Utica, New York 13501; • Thursday, September 5, 2019 – 5:00 p.m. - Perretta Twin Towers Community Room, 509 Second St., Utica, New York 13501; • Wednesday, September 11, 2019 - 6:00 p.m. - Adrean Terrace, Matt Apts., N.D. Peters Manor - Vega Martinez Center, 1790 Armory Drive, Utica, NY 13501; • Thursday, September 12, 2019 – 6:00 p.m. - Gillmore Village Computer Lab, 929 Hillcrest Avenue, Utica, New York 13502; • Thursday, September 19, 2019 – 6:00 p.m. – Resident Advisory Board, Perretta Twin Towers Community Room, 509 Second St., Utica, New York 13501; • Wednesday, October 9, 2019, 6:00 p.m. – Public Hearing, Perretta Twin Towers Community Room, 509 Second St., Utica, New York 13501. <p><i>A public hearing was held at 6:00 p.m. on October 9, 2019 to solicit public comments on the Annual Plan. In addition, the UMHA accepted written comments on the Draft Agency Annual Plan. In addition, Board of Commissioner members were invited to the resident meetings.</i></p> <p><input type="checkbox"/> PHA Consortia: (Check box if submitting a Joint PHA Plan and complete table below)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2">Participating PHAs</th> <th rowspan="2">PHA Code</th> <th rowspan="2">Program(s) in the Consortia</th> <th rowspan="2">Program(s) not in the Consortia</th> <th colspan="2">No. of Units in Each Program</th> </tr> <tr> <th>PH</th> <th>HCV</th> </tr> </thead> <tbody> <tr> <td>Lead PHA:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Participating PHAs	PHA Code	Program(s) in the Consortia	Program(s) not in the Consortia	No. of Units in Each Program		PH	HCV	Lead PHA:											
Participating PHAs	PHA Code					Program(s) in the Consortia	Program(s) not in the Consortia	No. of Units in Each Program													
		PH	HCV																		
Lead PHA:																					

B.	5-Year Plan. Required for <u>all</u> PHAs completing this form.					
B.1	<p>Mission. State the PHA's mission for serving the needs of low- income, very low- income, and extremely low- income families in the PHA's jurisdiction for the next five years.</p> <p><i>The mission of the Municipal Housing Authority of the City of Utica, New York is to foster relationships to strengthen housing and supportive services within the community to ensure people come first. To fulfill its vital mission, UMHA is building innovative partnerships among the public, private, and non-profit sectors to preserve and create new affordable housing opportunities, modernize its developments, and help its residents and the wider community to access supportive services, job development, education, and other programs.</i></p>					
B.2	<p>Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low- income, very low- income, and extremely low- income families for the next five years.</p> <p><i>Please refer to Page 13.</i></p>					
B.3	<p>Progress Report. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.</p> <p><i>Please see Page 140.</i></p>					
B.4	<p>Violence Against Women Act (VAWA) Goals. Provide a statement of the PHA's goals, activities objectives, policies, or programs that will enable the PHA to serve the needs of child and adult victims of domestic violence, dating violence, sexual assault, or stalking.</p> <p><i>Please see Page 114.</i></p>					
B.5	<p>Significant Amendment or Modification. Provide a statement on the criteria used for determining a significant amendment or modification to the 5-Year Plan.</p> <p><i>Please see Page 120.</i></p>					
B.6	<p>Resident Advisory Board (RAB) Comments.</p> <p>(a) Did the RAB(s) provide comments to the 5-Year PHA Plan?</p> <p>Y N <input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>(b) If yes, comments must be submitted by the PHA as an attachment to the 5-Year PHA Plan. PHAs must also include a narrative describing their analysis of the RAB recommendations and the decisions made on these recommendations.</p> <p><i>Please see Page 151.</i></p>					

B.7	<p>Certification by State or Local Officials.</p> <p><u>Form HUD 50077-SL</u>, <i>Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan</i>, must be submitted by the PHA as an electronic attachment to the PHA Plan.</p> <p>Please see <u>Page 156</u>.</p>
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Streamlined Annual PHA Plan <i>(High Performer PHAs)</i>	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires: 02/29/2016
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Purpose. The 5-Year and Annual PHA Plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission, goals and objectives for serving the needs of low- income, very low- income, and extremely low- income families

Applicability. Form HUD-50075-HP is to be completed annually by **High Performing PHAs**. PHAs that meet the definition of a Standard PHA, Troubled PHA, HCV-Only PHA, Small PHA, or Qualified PHA do not need to submit this form.

Definitions.

- (1) **High-Performer PHA** – A PHA that owns or manages more than 550 combined public housing units and housing choice vouchers, and was designated as a high performer on both of the most recent Public Housing Assessment System (PHAS) and Section Eight Management Assessment Program (SEMAP) assessments.
- (2) **Small PHA** - A PHA that is not designated as PHAS or SEMAP troubled, or at risk of being designated as troubled, and that owns or manages less than 250 public housing units and any number of vouchers where the total combined units exceeds 550.
- (3) **Housing Choice Voucher (HCV) Only PHA** - A PHA that administers more than 550 HCVs, was not designated as troubled in its most recent SEMAP assessment, and does not own or manage public housing.
- (4) **Standard PHA** - A PHA that owns or manages 250 or more public housing units and any number of vouchers where the total combined units exceeds 550, and that was designated as a standard performer in the most recent PHAS or SEMAP assessments.
- (5) **Troubled PHA** - A PHA that achieves an overall PHAS or SEMAP score of less than 60 percent.
- (6) **Qualified PHA** - A PHA with 550 or fewer public housing dwelling units and/or housing choice vouchers combined, and is not PHAS or SEMAP troubled.

A.	PHA Information.
A.1	<p>PHA Name: : <u>Municipal Housing Authority of the City of Utica, New York</u> PHA Code: <u>NY006</u> PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performer PHA Plan for Fiscal Year Beginning: (MM/YYYY): <u>01/01/2020</u> PHA Inventory (Based on Annual Contributions Contract (ACC) units at time of FY beginning, above) Number of Public Housing (PH) Units <u>893</u> Number of Housing Choice Vouchers (HCVs) <u>243</u> Total Combined <u>1,136</u> PHA Plan Submission Type: <input checked="" type="checkbox"/> Annual Submission <input type="checkbox"/> Revised Annual Submission</p> <p>Availability of Information. In addition to the items listed in this form, PHAs must have the elements listed below readily available to the public. A PHA must identify the specific location(s) where the proposed PHA Plan, PHA Plan Elements, and all information relevant to the public hearing and proposed PHA Plan are available for inspection by the public. Additionally, the PHA must provide information on how the public may reasonably obtain additional information of the PHA policies contained in the standard Annual Plan, but excluded from their streamlined submissions. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on their official website. PHAs are also encouraged to provide each resident council a copy of their PHA Plans.</p> <p><i>The draft Agency Plan for FY 2020/Five Year Plan FY 2020-2024 was available for public review at the UMHA Central office and each development's management office. Copies were distributed to the resident associations and the Resident Advisory Board. Pursuant to HUD regulations, a legal notice was published in the newspaper of general circulation on August 16 and 17, 2019 announcing the public hearing on October 9, 2019 and seeking comments on the Annual/Five Year Plan as well as the Admissions and Continued Occupancy Plan, Rental Assistance Demonstration program, public housing and assisted leases for the Chancellor Apartments and Low-Income Housing Tax Credit projects, Family Self-Sufficiency (FSS) Action Plan, Chancellor Apartment Tenant Selection Plan and Housing Choice (HCV) Administrative Plan. Notices were placed on the UMHA Facebook Page regarding resident meetings in connection with the Annual Plan.</i></p> <p><i>In conjunction with our Resident Advisory Board and Resident Associations, the UMHA convened meetings at our various housing developments on the following dates to review the Annual Plan and other policy documents:</i></p> <p>Resident Roundtable/Advisory Board Meetings</p> <ul style="list-style-type: none"> • <i>Thursday, August 22, 2019 – 4:00 p.m. - Marino Ruggiero Apartments Community Room, 415 Bleecker St., Utica, NY 13501;</i> • <i>Thursday, August 29, 2019 – 6:00 p.m. - Humphrey Gardens Community Room, 225 Herkimer Rd, Utica, NY 13502;</i> • <i>Wednesday, September 4, 2019 - 5:00 p.m. - Chancellor Apartments, Community Room, 417 Bleecker Street, Utica, New York 13501;</i> • <i>Thursday, September 5, 2019 -- 5:00 p.m. - Perretta Twin Towers Community Room, 509 Second St., Utica, New York 13501;</i> • <i>Wednesday, September 11, 2019 - 6:00 p.m. - Adrean Terrace, Matt Apts., N.D. Peters Manor - Vega Martinez Center, 1790 Armory Drive, Utica, NY 13501;</i> • <i>Thursday, September 12, 2019 – 6:00 p.m. - Gillmore Village Computer Lab, 929 Hillcrest Avenue, Utica, New York 13502;</i>

- *Thursday, September 19, 2019 – 6:00 p.m. – Resident Advisory Board, Perretta Twin Towers Community Room, 509 Second St., Utica, New York 13501;*
- *Wednesday, October 9, 2019, 6:00 p.m. – Public Hearing, Perretta Twin Towers Community Room, 509 Second St., Utica, New York 13501.*

A public hearing was held at 6:00 p.m. on October 9, 2019 to solicit public comments on the Annual Plan. In addition, the UMHA accepted written comments on the Draft Agency Annual Plan. In addition, Board of Commissioner members were invited to the resident meetings.

PHA Consortia: (Check box if submitting a Joint PHA Plan and complete table below)

Participating PHAs	PHA Code	Program(s) in the Consortia	Program(s) not in the Consortia	No. of Units in Each Program	
				PH	HCV
Lead PHA:					

B. Annual Plan Elements

B.1 Revision of PHA Plan Elements.

(a) Have the following PHA Plan elements been revised by the PHA since its last **Annual PHA Plan** submission?

Y N

- Statement of Housing Needs and Strategy for Addressing Housing Needs.
- Deconcentration and Other Policies that Govern Eligibility, Selection, and Admissions.
- Financial Resources.
- Rent Determination.
- Homeownership Programs.
- Safety and Crime Prevention.
- Pet Policy.
- Substantial Deviation.
- Significant Amendment/Modification

(b) The PHA must submit its Deconcentration Policy for Field Office Review.

(c) If the PHA answered yes for any element, describe the revisions for each element below:

Please see revisions in the attached Plan. For specific page numbers, please consult the Table of Contents.

B.2 New Activities

(a) Does the PHA intend to undertake any new activities related to the following in the PHA's current Fiscal Year?

Y N

- Hope VI or Choice Neighborhoods.
- Mixed Finance Modernization or Development.
- Demolition and/or Disposition.
- Conversion of Public Housing to Tenant Based Assistance.
- Conversion of Public Housing to Project-Based Assistance under RAD.
- Project Based Vouchers.
- Units with Approved Vacancies for Modernization.
- Other Capital Grant Programs (i.e., Capital Fund Community Facilities Grants or Emergency Safety and Security Grants).

(b) If any of these activities are planned for the current Fiscal Year, describe the activities. For new demolition activities, describe any public housing development or portion thereof, owned by the PHA for which the PHA has applied or will apply for demolition and/or disposition approval under section 18 of the 1937 Act under the separate demolition/disposition approval process. If using Project-Based Vouchers (PBVs), provide the projected number of project based units and general locations, and describe how project basing would be consistent with the PHA Plan.

Please see Pages 121.

<p>B.3</p>	<p>Progress Report.</p> <p>Provide a description of the PHA's progress in meeting its Mission and Goals described in the PHA 5-Year Plan.</p> <p><i>Please see Pages 140.</i></p>
<p>B.4.</p>	<p>Most Recent Fiscal Year Audit.</p> <p>(a) Were there any findings in the most recent FY Audit?</p> <p>Y N <input type="checkbox"/> <input checked="" type="checkbox"/></p> <p>(b) If yes, please describe:</p>
<p>Other Document and/or Certification Requirements.</p>	
<p>C.1</p>	<p>Certification Listing Policies and Programs that the PHA has Revised since Submission of its Last Annual Plan</p> <p><u>Form 50077-ST-HCV-HP, Certification of Compliance with PHA Plans and Related Regulations</u>, must be submitted by the PHA as an electronic attachment to the PHA Plan.</p> <p><i>Please see Pages 136.</i></p>
<p>C.2</p>	<p>Civil Rights Certification.</p> <p><u>Form 50077-ST-HCV-HP, Certification of Compliance with PHA Plans and Related Regulations</u>, must be submitted by the PHA as an electronic attachment to the PHA Plan.</p> <p><i>Please see Pages 136.</i></p>
<p>C.3</p>	<p>Resident Advisory Board (RAB) Comments.</p> <p>(a) Did the RAB(s) provide comments to the PHA Plan?</p> <p>Y N <input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>If yes, comments must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the RAB recommendations and the decisions made on these recommendations.</p> <p><i>Please see Pages 151.</i></p>
<p>C.4</p>	<p>Certification by State or Local Officials.</p> <p><u>Form HUD 50077-SL, Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan</u>, must be submitted by the PHA as an electronic attachment to the PHA Plan.</p>

	<i>Please see Pages 156.</i>
D	Statement of Capital Improvements. Required in all years for all PHAs completing this form that administer public housing and receive funding from the Capital Fund Program (CFP).
D.1	Capital Improvements. Include a reference here to the most recent HUD-approved 5-Year Action Plan (HUD-50075.2) and the date that it was approved by HUD. HUD Form 50075.2 was approved by HUD on April 13, 2016. Please see the attachment.

MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA, NEW YORK

PHA ANNUAL AGENCY PLAN FOR FISCAL YEAR 2020 FIVE YEAR AGENCY PLAN FOR FISCAL YEARS 2020-2024



Municipal Housing Authority of the City of Utica,
New York
509 Second Street, Suite One
Utica, New York 13501
315-735-5246
www.uticamha.org

MHA Board of Commissioners

Louis Parrotta
Chairperson
Mark Kelly
Vice Chairperson
Carmen Durante
Resident Member
Lucretia Hunt
Member
Frank Meola
Member
Nelson Santiago
Member
Linda Zulla
Resident Member

MHA Senior Staff

Robert Calli
Executive Director
Shelley Penge
Director of Finance
Madeline Barlow
Director of Human Resources
Brian Wittman
Modernization Coordinator
John Furman
Director of Grants & Programs
Marlene Cieslak
Assistant Asset Manager
Bryan Brown
Assistant Asset Manager

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A. PHA INFORMATION EXECUTIVE SUMMARY

THANK YOU TO OUR DONORS AND VOLUNTEERS

During the past year, the Municipal Housing Authority of the City of Utica, New York continued to provide quality, affordable housing as well as supportive services to help families become self-sufficient. We have completed new exciting projects such as the Utica College Pioneer Village and Roosevelt Residences. We could not do this critical work without the support of many individuals and organizations. The UMHA would like to extend our deep and sincere appreciation to our residents, Board of Commissioner members, staff, AmeriCorps members, Resident Association Boards and members, volunteers, donors and funders, and partner agencies, who help us serve others.

The Housing Authority would like to thank the following funders and donors who made it possible for us to provide housing and services to local residents:

United States Department of Housing and Urban Development, United States Corporation for National and Community Service, New York State Office of Children and Family Services, New York State Office of Temporary and Disability Assistance, United Way of the Valley and the Greater Utica Area, The Community Foundation of Herkimer and Oneida Counties, the County of Oneida, the City of Utica, Norstar Development USA, L.P., Oneida County Workforce Development, Workforce Development Board, City of Utica Department of Urban & Economic Development, New York State Homes and Community Renewal, York State Energy Research and Development Authority, KeyBank Community Development Lending & Investment (CDLI), City of Utica, the State of New York Mortgage Agency (SONYMA), Housing Finance Agency, the Office of Temporary and Disability Assistance's Homeless Housing and Assistance Program (HHAP), Royal Bank of Canada, Utica College, New York State Department of State. Axiom Capital, Utica Industrial Development Agency, Adirondack Bank, Community Bank, Compassion Coalition, Hub Eatery, Our Saviour Lutheran Church, Cornerstone Church, Aspen Dental, Unitarian-Universalist Church, Hub Eatery.

By working together with many local agencies and community partners, we have helped our residents and clients access vital services and programs. We would like to thank the following organizations for their help during the past year:

Utica College, Bridges Tobacco Prevention Program, Oneida County Department for the Aging and Planning, Oneida County Department of Health, Workforce Development Board, GPO Federal Credit Union, Empower Federal Credit Union, American Red Cross, National Grid, Bank of Utica, First Niagara Bank Foundation, Compassion Coalition, Mohawk Valley Builders Exchange, Rotary Club, Oneida County Cooperative Extension, Mohawk Valley Community Action, Elderlife, Inc. (Parkway Center), Neighborhood Center of Utica, Inc., Mohawk Valley Association of Realtors, Oneida County Workforce Development, Central New York Fair Housing Council, Rescue Mission of Utica, Inc., Oneida County Department of Social Services, Utica Police Department, Mohawk Valley Community College, Central New York Veterans Outreach Center, Utica Fire Department, HomeOwnership Center, SoldierOn, Resource Center for Independent Living, Mohawk Valley Housing and Homeless Coalition, Upstate Cerebral Palsy, The Neighborhood Center, YWCA Mohawk Valley, Utica City School District, Madison-Oneida Board of Cooperative Education Services, Center for Family and Recovery, Catholic Charities,

Insight House, Greater Utica Community Food Resources, ACR Health, Clear Point Credit Counseling, Rescue Mission, OnPoint for College, Oneida Square Projects, Women's Employment Center, Kids Oneida, Central New York Labor Council, CENTRO, ACCESS VR, Veteran Administration, Women's Empowerment Project, Mom's Meal, Your Neighbors, Legal Aid Society, Faith Furniture, Habitat for Humanity, Turning Point Church of Utica, St. Francis De Sales Church, Hope House, Inertia Physical Therapy and Wellness Center, FOCUS, Community Food Bank of Central New York, Utica Community Health Center, New York State Attorney General Office, Utica Public Library, House of Prayer, Utica Food Bank, Adirondack Bank, Business Training Institute Inc., The Women's Business Center of New York State, Oneida County Suicide Coalition, Bee Rose Foundation, Mohawk Valley Community Energy Engagement Program, Integrative Experience LLC, Central New York Services, Landmarks Society of Greater Utica, Oneida County History Center, Central Association for the Blind and Visually Impaired, Legal Services of Central New York, Lead Free Mohawk Valley Coalition, Eat Smart, NY, Inertia Physical Therapy and Wellness, Aetna, Unitarian-Universalist Church.

We would like to give a special thank you to our volunteers who donate their time or give food, clothing, furniture, or personal care items - your compassion and support makes our work possible.

OUR MISSION

Vision: "To ensure people come first."

Mission: "Fostering relationships to strengthen housing and supportive services within the community to ensure people come first."

Public Housing Authorities (PHAs) like the Municipal Housing Authority of the City of Utica, New York (UMHA) play a critical role in the U.S. housing system, with approximately 3,800 locally-controlled agencies of varying sizes (small, medium, and large) administering over 3.5 million units of subsidized housing through public housing, voucher, and multifamily programs. From these programs, the U.S. Department of Housing and Urban Development (HUD) provides assistance to over 7 million Americans. Those living in HUD-assisted housing generally pay 30% of their earned income towards rent, with the PHA contributing the remaining amount. A majority of those receiving housing assistance are headed by seniors (35%), single women with children (33%), and contain at least one person with a disability (37%). Many households are very low-income, with an average household income of \$13,900 in 2017.

Established in 1937, the Municipal Housing Authority of the City of Utica, New York (UMHA) was one of the first housing authorities formed in the U.S. The Housing Authority employs a staff of 51 full-time and nine part-time employees. Eleven full-time AmeriCorps members complement our staff and provide direct service to public housing and community residents. The UMHA is the major provider of subsidized housing in Utica. Our goal is to be a leader in the housing industry by providing safe, clean and affordable housing opportunities to low income persons while promoting self-sufficiency, upward mobility, and customer satisfaction. The UMHA has successfully administered AmeriCorps, HOPE VI home rehabilitation, public housing

modernization, HUD ARRA grants, energy improvement, housing development, youth, human and community service, job training, and educational programs.

With integrity, high ethical standards, and competence, we are committed to transparently provide, develop and offer low-income residents of the City of Utica and Central New York:

- Quality affordable housing opportunities,
- Neighborhood revitalization and community renewal activities,
- Partnerships with private and public entities to optimize resources through innovative programs,
- Efficient and effective management of resources,
- Education, literacy, social, career development and economic self-sufficiency programs.

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. We house 1,848 persons in its LIPH units. Occupancy for public housing and mixed finance units remains at 99%. Currently, our SEMAP score for our Section 8 program was 96% while our PIC scores for public housing units are at 98.57.

During the past year, we have witnessed an uptick in the number of homeless people seeking services. The local Continuum of Care estimates that there are 1,200 homeless persons each year in the region. About 200 are street homeless persons including homeless youth and veterans. Rising rents and the lack of affordable, quality housing have increased demand for public and subsidized housing. The Oneida County Department of Social Services reports that they received about 500 housing assistance referrals in 2017. The Rescue Mission of Utica serves about 140 people each night. Since January 2018, the UMHA AmeriCorps Self-Sufficiency Housing Resource Center, a one-stop center for housing help, served 543 persons with housing issues such as finding housing, evictions, and other needs.

FY 2020 MAJOR CHANGES

- Submission of Rental Assistance Demonstration (RAD) application to HUD to convert entire portfolio of all public housing units to Section 8 funding;
- Development of financing plan and related proposals for the rehabilitation of UMHA's LIPH units;
- Development of new policies, procedures, and leases as well as staff training to prepare the housing authority for conversion to RAD Section 8 funding;
- Two HUD Capital Fund Lead Grants of \$1,000,000 each involving the assessment and mitigation of lead hazards at the Adrean Terrace, N.D. Peters Manor, F.X. Matt Apts. as well as Gillmore Village/Humphrey Gardens;

- Expansion of the UMHA programs serving the homeless including a homeless street outreach and Rapid Rehousing rental assistance programs;
- Commencement of the operation of the Utica College Project which will provide student housing and income for the UMHA;
- Completion of construction and full lease-up of the 50 unit LIHTC Roosevelt Residences
- Completion of construction of the Verona Senior/Disabled Project whereby the UMHA will partner with the Oneida Housing Authority to create 50 new units of affordable housing in rural Oneida County;
- Continued implementation of the expanded AmeriCorps Grant to help public housing and community residents to obtain jobs, housing, financial literacy education and veteran services;
- Implementation of a new customer-friendly website to provide the community with information and facilitate tenant and vendor transactions;
- Creation of a new re-branding and marketing campaign for the housing authority.

2018-2019 ACCOMPLISHMENTS

The following are our significant accomplishments during the past year:

- Submitted the Rental Assistance Demonstration application for the conversion of the entire portfolio of the Utica Municipal Housing Authority's Low Income Public Housing units;
- Through a competitive procurement process, retained a consultant to help the UMHA apply for Rental Assistance, Low Income Housing Tax Credit financing;
- Conducted a series of five information meetings for the Rental Assistance Demonstration Program;
- Received a highly competitive Lead-Based Paint Capital Fund Program grant of \$1,000,000 to assess and remediate lead risks at Gillmore Village complex;
- Completed construction with our co-developer – Construction Services, LLC – on a \$13 million Pioneer Village Utica College student housing complex;
- Completed construction on a \$16 million affordable housing project – Roosevelt Residences – which will consist of 50 scattered site units with eight units reserved for homeless veterans and the chronically homeless;
- Received in partnership with the City of Oneida Housing Authority financing for a 55 unit affordable and supportive housing project in Verona for the elderly and disabled individuals to include a senior center;
- Completed a \$2.2 million Energy Performance contract for the Chancellor Apartments, a New York State Public Housing/Section 8 development for seniors and the disabled;
- Approved for a new three year AmeriCorps grant which will increase funding from \$136,252 to \$264,514 and increase its FT members from 11 to 20;

- Installed a new emergency generator for the Perretta Twin Towers, a senior and disabled housing development;
- Installed a new web-based access control system for the housing authority developments to ensure resident safety;
- Established a housing authority Facebook page as well as a micro website for the Roosevelt Residences development;
- Commenced a re-branding and marketing campaign to raise community awareness of our services;
- Redesigned housing authority website to serve as a marketing and customer service platform;
- Established an outreach center at the Utica Public Library, Our Savior Lutheran Church, Cornerstone Church, and other sites to offer evening job placement, housing assistance, financial literacy services, and help for veterans;
- Secured match funding for the AmeriCorps program from the United Way and the Workforce Development Board;
- Begun the implementation of the Empire State Supportive Housing Initiative through the MHA's new not for profit corporation – Central New York Community Solutions to provide case management services to Roosevelt Residences tenants;
- Completed a Section 3 Summer Youth Supervisor Program to provide job training for summer youth workers;
- Obtained a second grant of \$24,409 for the Fresh Start Section 3 Training Program which provides hands-on training in building maintenance and construction skills as well as placement and follow-up services for at-risk youth ages 18-24;
- Continued our successful Give Back Friday program during the holiday season which collected donated food, household furnishings, beds, and gifts for over 120 UMHA residents;
- Continued the successful Dan Daniels Scholarship program which gave laptops to graduating high school seniors from MHA housing developments;
- Created pop up food distribution centers at UMHA sites in conjunction with the Compassion Coalition to provide food to residents facing hunger issues;
- Implemented the new smoke free policy in public housing and assisted units;
- Begun feasibility analysis and predevelopment activities in connection with various new affordable housing projects;
- Completed building upgrades and apartment renovations at our various developments;
- Obtained renewal funding for the FY 2018 Family Self-Sufficiency program in the amount of \$69,380;
- Received a fourth Summer Youth Employment Program grant of \$6,500 from the Workforce Development Board to provide training in green collar occupations for 20 public housing youth residents;
- Received a grant to develop a new community garden/permaculture summer youth job training program in the amount of \$6,500;
- Conducted two landlord outreach events to engage landlords in the Section 8 program;
- Provided training to landlords and tenants regarding New York State Tenant Protection Act;

- Provided fair housing and Section 3 training sessions for UMHA employees as well as staff of local housing agencies;
- Continued the successful Guardian Angels and Family Friends home visiting program to ascertain resident needs.
- Hiring an additional maintenance mechanic and part-time security officer;
- Installation of additional security cameras at Adrean Terrace AMP.

ANNUAL PLAN PROCESS

Federal law and U.S. Department of Housing and Urban Development regulations require that the Municipal Housing Authority of the City of Utica, New York (UMHA) formulate, with input from public housing residents, Housing Choice voucher holders, elected officials, and the general public, a plan setting forth its major initiatives and goals for the coming fiscal year as well as every five years.

Our Annual and Five Year Planning process was coordinated with the City of Utica, Oneida County Department of Health and Planning, Continuum of Care, and other human service and planning agencies. In addition, the UMHA made special efforts to ensure that our Annual Plan and Five Year Plan are consistent with the City of Utica Master Plan and Consolidated Plan.

The draft Agency Plan for FY 2020/Five Year Plan FY 2020-2024 was available for public review at the UMHA Central office and each development’s management office. Copies were distributed to the resident associations and the Resident Advisory Board. Pursuant to HUD regulations, a legal notice was published in the newspaper of general circulation on August 16 and 17, 2019 announcing the public hearing on October 9, 2019 and seeking comments on the Annual/Five Year Plan as well as the Admissions and Continued Occupancy Plan, Rental Assistance Demonstration program, public housing and assisted leases for the Chancellor Apartments and Low-Income Housing Tax Credit projects, Family Self-Sufficiency (FSS) Action Plan, Chancellor Apartment Tenant Selection Plan and Housing Choice (HCV) Administrative Plan. Notices were placed on the UMHA Facebook Page regarding resident meetings in connection with the Annual Plan.

In conjunction with our Resident Advisory Board and Resident Associations, the UMHA convened meetings at our various housing developments on the following dates to review the Annual Plan and other policy documents:

Resident Roundtable/Advisory Board Meetings

- Thursday, August 22, 2019 – 4:00 p.m. - Marino Ruggiero Apartments Community Room, 415 Bleecker St., Utica, NY 13501;
- Thursday, August 29, 2019 – 6:00 p.m. - Humphrey Gardens Community Room, 225 Herkimer Rd, Utica, NY 13502;
- Wednesday, September 4, 2019 - 5:00 p.m. - Chancellor Apartments, Community Room, 417 Bleecker Street, Utica, New York 13501;

- Thursday, September 5, 2019 -- 5:00 p.m. - Perretta Twin Towers Community Room, 509 Second St., Utica, New York 13501;
- Wednesday, September 11, 2019 - 6:00 p.m. - Adrean Terrace, Matt Apts., N.D. Peters Manor - Vega Martinez Center, 1790 Armory Drive, Utica, NY 13501;
- Thursday, September 12, 2019 – 6:00 p.m. - Gillmore Village Computer Lab, 929 Hillcrest Avenue, Utica, New York 13502;
- Thursday, September 19, 2019 – 6:00 p.m. – Resident Advisory Board, Perretta Twin Towers Community Room, 509 Second St., Utica, New York 13501;
- Wednesday, October 9, 2019, 6:00 p.m. – Public Hearing, Perretta Twin Towers Community Room, 509 Second St., Utica, New York 13501.

A public hearing was held at 6:00 p.m. on October 9, 2019 to solicit public comments on the Annual Plan. In addition, the UMHA accepted written comments on the Draft Agency Annual Plan. In addition, Board of Commissioner members were invited to the resident meetings.

At each of the meetings, residents were asked to comment on the following documents: Rental Assistance Demonstration Program Application Public Housing Admissions and Continued Occupancy Policy (ACOP), public housing and assisted leases for the Chancellor Apartments and Low-Income Housing Tax Credit projects, HUD Multi-Family Tenant Selection Plan, Family Self-Sufficiency (FSS) Action Plan, and Housing Choice (HCV) Administrative Plan.

As part of our Annual Plan process, the UMHA conducted an extensive needs analysis of its residents, conducted resident surveys, and performed an overall assessment of housing needs in the City of Utica. In 2017, the UMHA conducted a needs assessment survey in conjunction with the United Way’s Empire State Poverty Reduction Initiative. In July 2018, as required by the HUD ROSS program, the UMHA conducted a resident needs assessment to determine the types of services and programs needed by our residents.

The UMHA Board of Commissioners approved the FY 2019 Agency Plan at its meeting on October 16, 2019. It will be submitted to HUD on the same day. The due date for the HUD submission is October 18, 2019. Following the UMHA submission, HUD will have 75 days in which to review and approve the plan.

FY 2020 INITIATIVES

In FY 2020, the UMHA is proposing to accomplish the following:

1. Complete the Rental Assistance Demonstration application process to convert all of the UMHA public housing units to RAD;
2. Apply for Low-Income Housing Tax Credits and other funding to complete the RAD conversion and rehabilitation of public housing properties;
3. Continue the operation of the Roosevelt Residences Project which was in 2019;
4. Provide staff and resident training to prepare for the RAD conversion;

5. Develop property management procedures, forms, and policies for the operation of the RAD/LIHTC/PBRA units;
6. Continue to implement the Project-Based Voucher program for the Roosevelt Residences Project;
7. Complete the construction of the Jason Gwilt Memorial Senior Apartments in Verona, NY;
8. Complete the construction of the Pioneer Village Utica College student housing project;
9. Continue the operation of the AmeriCorps program;
10. Apply for new funding for resident service programs;
11. Increase the role of the housing authority in addressing community housing concerns;
12. Increase the lease-up for the Housing Choice Voucher program by expanding its jurisdiction to the entire Oneida County as well as increasing landlord participation;
13. Develop, acquire or preserve affordable housing in Central New York;
14. Complete the implementation of the CFP Lead grants for Adrean Terrace, N.D. Peters Manor, F.X. Matt Apts. as well as Gillmore Village/Humphrey Gardens;
15. Explore the feasibility of developing a cogeneration plant at the Adrean Terrace, N.D. Peters Manor, F.X. Matt Apts. to produce energy cost savings and revenue for the housing authority;
16. To implement a rebranding and marketing campaign for the housing authority to raise awareness of programs and services and assist with fund development;
17. Develop social enterprises to provide revenue and job opportunities for residents;
18. Begin the digitalization of housing operation operations to improve customer service and ensure compliance;
19. Consider applying to the Moving to Work Demonstration Project to improve Section 8 programs through waivers from regulations and flexible application of rules;
20. As part of our commitment to service homeless families and individuals, continue to actively collaborate with social service and local non-profit agencies on a series of initiatives to reduce and help prevent homelessness;
21. Continue the development of supportive services programs for residents;
22. Launch the redesigned housing authority's website and create online resident self-service portals;
23. Improve resident rent and fee collection;
24. Increase professional staff development and compliance monitoring;
25. Continue to implement the "Quality of Life" and "People Come First" management philosophy and approach to ensure the highest level of resident services;
26. Continue the implementation of the Homeless Management Information System to assist homeless persons to find assisted or private sector housing;
27. Continue to Implement the HUD smoke-free regulations;
28. Develop new revenue enhancing programs such as providing property management services;
29. Increase communication with residents through newsletters and social media;
30. Develop a new lease and resident handbook;
31. Create neighborhood watch groups to increase resident security;
32. Providing continue education and training for our staff and keep up with all the new state and federal regulations.
33. Upgrade and install new surveillance camera systems at senior and family developments;

34. Improve resident compliance with lease and house rules through case management, eviction programs, and lease violation tracking systems;
35. Increase the use of translators and interpreters to facilitate communication with Limited English Proficient individuals;
36. Develop new rental housing developments to provide affordable housing as well as increase housing authority revenue;
37. Implement cost saving measures to increase operational efficiency;
38. Strengthen Section 3 and resident hiring initiatives;
39. Improve maintenance services through achieving efficiencies;
40. Develop new sources of funding through the housing authority's new non-profit corporation – Central York Community Solutions, Inc.;
41. Explore the feasibility of purchasing affordable housing rental properties (focusing on expiring Project-Based Section 8 projects) to preserve this greatly needed housing stock;
42. Use its statutory authority to serve as a bonding issuer to develop affordable housing and other projects to benefit the community;
43. Utilize its unused ACC subsidies to develop new RAD rental units;
44. Apply for individual Foster Youth to Independence (FYI) initiative Section 8 vouchers;
45. Continue to submit applications to receive funding from Mainstream voucher program.

UMHA GOALS AND OBJECTIVES

FIVE YEAR PLAN

The following are the goals and objectives which will guide the UMHA in its development and implementation of affordable housing programs for the next five years:

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

PHA Goal 1: Convert Section 9 public housing inventory to Rental Assistance Demonstration Program (Section 8)

Objectives:

1. Conduct a Physical Needs Assessment of public housing units to determine capital needs of units.
2. Develop architectural plans based upon the PNA results as well as 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 the public housing properties.
4. Revise programs, policies, and procedures to ensure consistence with Section 8 and tax credit regulations.
5. Commence construction and schedule it to minimize relocation and disruption of residents' lives.

6. Coordinate construction activities with the recently awarded lead grants for the Gillmore Village/Humphrey Gardens and the 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 UMHA staff, residents, and Board members on the RAD conversion process.
9. Revise operating policies, procedures, leases, forms, and other documents to ensure conformance with LIHTC and Section 8 rules.

Expand the supply of assisted housing

Objectives:

1. Maintain high occupancy levels of public housing/RAD units.
 - A. Maintain an occupancy rate of at least 98% for public housing/RAD units;
 - B. Continue to market public housing/RAD units through outreach to community agencies as well as paid and free advertising opportunities;
 - C. Increase turnover time to prepare units for re-occupancy;
 - D. Increase the visibility of housing authority programs and services through public service announcements, presentations to local groups, social media, community fairs, and paid advertising;
 - E. Streamline application and eligibility determination processes to increase occupancy and expedite leasing.
2. Leverage private or other public funds to create additional housing opportunities.
 - A. Procure housing developers to assist with securing funding and creating new housing opportunities;
 - B. Continue to apply for funding opportunities that may become available to create additional housing opportunities;
 - C. Develop mixed finance rental units to utilize unused ACC subsidies and then convert them to RAD;
 - D. Explore the feasibility of applying for funding for community development and revitalization programs;
 - E. Apply for housing and community development programs to create new housing opportunities as well as promote neighborhood revitalization;
 - F. Examine the feasibility of developing transitional and permanent housing for special needs populations, homeless, disabled, and other populations in need;
 - G. Develop loft housing designed as live and work space for low and moderate income artists;
 - H. Create mixed income/use residential developments with commercial space;
 - I. Apply for additional Housing Choice vouchers as well as Mainstream, Family Unification, Enhanced Voucher, and Homeless Veteran vouchers;
 - J. Access other leveraged sources of funding such as bond and Low Income Housing Tax Credit Financing and various other federal, state, local, and private programs;
 - K. Work in partnership with community organizations and housing authority related entities to create affordable and market rate housing opportunities;

- L. Coordinate housing authority unit inspection programs with the City of Utica Fire and Codes Dept. to improve the quality of housing and increase compliance of private landlords with housing standards;
- M. Coordinate housing development programs with the City of Utica, Homeless/Housing Coalition, and County of Oneida as well as other state and federal agencies;
- N. Continue to submit applications to HUD to administer project-based Housing Choice subsidy programs;
- O. Work with the City of Utica and County of Oneida to seek funding to operate a lead hazard control grant program for City of Utica residents;
- P. Continue to create an inventory of lead safe housing units through public housing modernization efforts;
- Q. Coordinate housing and community development efforts with the City of Utica Rust to Green Initiative;
- R. Continue to operate a Housing Information and Referral Center to help community residents access housing opportunities;
- S. Operate the Roosevelt Residences Project consisting of 50 new affordable housing units for low-income families, homeless and veterans;
- T. Provide property management services to other organizations and create housing development fund corporations to help leverage funding;
- U. Examine the feasibility of acquiring, managing and rehabilitating affordable housing properties as well as creating housing development fund corporations to stimulate private investment in affordable housing;
- V. Develop new affordable housing to meet the needs of homeless and special needs populations;
- W. Use its bonding authority to finance housing development and other projects;
- X. Develop new housing development projects such as Utica College Student Housing and The Jason Gwilt Memorial Senior Apartments in Verona;
- Y. Implement the Capital Fund Grant Lead remediation program;
- Z. If RAD applications are not approved, undertake a major rehabilitation of the Adrean Terrace, N.D. Peters Manor, and F.X. Matt Apartments through a mixed finance transaction involving ACC subsidies and LIHTC.

PHA Goal 2: Improve the quality of assisted housing

Objectives

1. Enhance public housing management. [Maintain existing high Public Housing Assessment System (PHAS) Score.]
 - A. Continue with the Quality Assurance Review (QAR) program of residents' files;
 - B. Continue the applicability of the Enterprise Income Verification (EIV) and strengthen EIV operating policies and procedures;
 - C. Continue to implement systems and procedures to effectuate asset management;
 - D. Improve voucher management and maintain high Section 8 Management Assessment Program (SEMAP) Score;

- E. Provide staff retirement incentives to effectuate cost avoidance.
2. Improve customer/resident satisfaction.
 - A. Continue to operate a centralized walk-in and referral center for applicants for public housing and others seeking housing assistance;
 - B. Implement a customer service experience improvement project to ensure consistent, reliable and professional standards for each interaction with customers;
 - C. Provide staff training to ensure a consistent, reliable, and professional interactions with residents and customers;
 - D. Develop and implement new initiatives such as newsletters, websites, phone/text services, and social media sites to provide on-going information to residents regarding housing authority programs and services;
 - E. Assess the current tenant intake and recertification system to implement most effective strategies to reduce processing time and improve the customer experience;
 - F. Ensure that materials are translated into various languages and translators are available to help residents understand property management documents;
 - G. Create improved prospective resident screening systems that take advantage of the FBI national data base;
 - H. Develop a pre-application to reduce time and expense in screening applicants;
 - I. Increase customer satisfaction through quality control methods;
 - J. Provide improved communication with management and referral services to residents.
 3. Concentrate on efforts to improve specific management functions:
 - A. Deliver timely and quality maintenance services to residents;
 - B. Maintain 95% or greater of rent collections;
 - C. Implement preventive maintenance efforts;
 - D. Upgrade work order system to better track maintenance functions;
 - E. Adopt green procurement and maintenance approaches;
 - F. Provide opportunities for staff training opportunities and professional development;
 - G. Continue to revise public housing authority policy and procedures such as the Tenant Selection Policy, ACOP, Housing Choice Voucher Administrative Plan, Family Self-Sufficiency Action Plan, and lease;
 - H. Apply to participate in the Moving to Work Demonstration Program (The program offers public housing authorities the opportunity to design and test innovative, locally-designed housing and self-sufficiency strategies for low-income families by allowing exemptions from existing public housing and tenant-based Housing Choice Voucher rules and permitting PHAs to combine operating, capital, and tenant-based assistance funds into a single agency-wide funding source, as approved by HUD.);
 - I. Develop new preferences for public housing admission to meet community needs;
 - J. Promulgate self-managing work teams (SWMT) and employee empowerment;
 - K. Continue to address reorganization strategies to more effectively comply with Asset Management requirements as it relates to Civil Service and contractual agreements;
 - L. Develop entrepreneurial prospects to supplement revenue sources;

- M. Continue to sustain fiscal responsibility without compromising UMHA’s mission;
 - N. Implement new policies and procedures to prevent and address bed bug infestations;
 - O. Develop coin-operated on-site laundry facilities and other amenities at family developments;
 - P. Upgrade and develop park, recreational and green space improvements to enhance the marketability of apartment units;
 - Q. Support and provide financing for employee continuing education and skill upgrading efforts.
 - R. Implement a bed bug management system in our public housing units;
 - S. Provide higher education tuition assistance and other training opportunities to staff to help upgrade professional skills;
 - T. Reconfigure senior maintenance positions to improve maintenance operations and work order completion rates.
4. Renovate or modernize public housing units;
- A. Implement FY 2020-2024 Capital Fund 5-Year Action Plan;
 - B. Continue the installation of energy improvements;
 - C. Conduct resident energy conservation programs to reduce consumption;
 - D. Continue the installation of security, video camera surveillance, and other defensible design features to enhance resident safety by making application to state and federal funding sources;
 - E. Continue to apply for funding to upgrade housing authority units, improve energy performance, security vehicles and related equipment, and install security improvements;
 - F. Continue to install accessibility improvements to public housing units in order to promote safety and enhance mobility;
 - G. Explore the development of a new green housing initiative including but not limited to installation of solar panels and other alternative energy production mechanisms, development of roof top gardens, and LEED certified buildings;
 - H. Explore the feasibility of developing a cogeneration facility at the Adrean Terrace, N.D.. Peters Manor, and F.X. Matt Apartments to provide energy and create revenue streams for the housing authority
6. Use technology to improve the delivery of core business functions.
- A. Continue to upgrade the agency website to provide information to applicants, vendors, and the public;
 - B. Automate central intake functions to improve customer satisfaction;
 - C. Continue to implement technology upgrades to ensure accurate and timely reporting, communication and public relations;
 - D. Upgrade current computer network and servers to support business functions;
 - E. Develop a paperless office environment, utilizing cloud servers, user web portals, and scanning on demand documents;
 - F. Develop social media sites such as Facebook and Instagram to promote housing authority developments and services.

PHA Goal 3: Increase assisted housing choices

Objectives:

1. Continue to conduct outreach efforts to potential voucher landlords.
2. Create a one-stop community housing counseling and referral service to help residents of Central New York to access affordable housing.
3. Increase the UMHA voucher lease-up rate for its Housing Choice Voucher Program.
4. Use Project-Based Vouchers to assist to develop new housing choices, such as the 25 Roosevelt Residences units.
5. Continue to expand the jurisdiction of the UMHA HCV program to Oneida County to promote housing choice.
6. Obtain Mainstream voucher funding.
7. Apply for Foster Youth to Independence (FYI) initiative vouchers.

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

PHA Goal 4: Continue implementing security improvements

Objectives:

1. Seek funding to enhance the effectiveness of security department.
2. Continue to sponsor crime and fire prevention training for residents.
3. Install and upgrade video surveillance and other equipment to enhance resident safety through funding made other state and federal grants.
4. Assist residents to organize neighborhood watch groups.
5. Enhance the visibility and community presence of security services to include increased foot patrols and community building activities with residents.
6. Use Geographical Information System data provided by the Utica Police Department to track criminal activity and develop strategies to prevent crime.

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

Objectives:

1. Increase the number of employed persons in assisted families and expand access of residents to education and job training programs.
 - A. Monitor contractors and subcontractors for compliance with Section 3 training and employment goals, and provide public housing residents with information about Section 3 business and training employment opportunities;
 - B. Provide or identify supportive services to improve residents' employability;
 - C. Seek new partnerships with both public and private entities to enhance social and economic services to residents in assisted housing;
 - D. Maintain and expand the Family Self- Sufficiency program in Public Housing and Section 8;
 - E. Continue to implement the disallowance of increase in annual earned income, in accordance with the regulation;
 - F. Develop on-site educational, job training, career development, and literacy programs for public housing residents;
 - G. Continue the development of a construction skills training center in association with the Workforce Development Board, local schools, Mohawk Valley Community College and other institutions of higher education;
 - H. Continue to implement community service requirements for remaining public housing units to facilitate resident involvement in job training and educational programs;
 - I. Provide entrepreneurship and small business development training programs for residents;
 - J. Implement the AmeriCorps program to provide housing information and referral assistance, employment readiness training, veteran and financial training instruction;
 - K. Implement service coordinator grants through the UMHA resident associations or through the housing authority;
 - L. Apply for new funding streams;
 - M. 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.
 - A. Continue to provide service coordination to elderly and disabled households;
 - B. Implement health education programs targeted to seniors, children, and disabled;
3. Maintain and expand housing authority resident service programs
 - A. Develop new program initiatives to assist public housing refugee and immigrant communities;

- B. Continue to implement youth development, after-school, and summer youth development and enrichment programs;
- C. Maintain the operation of the Neighborhood Network Centers (community centers);
- D. Incorporate supportive services into property management functions;
- E. Conduct resident orientation and training sessions on housekeeping and support services linkages;
- F. Continue to build partnerships with local social service agencies such as the Oneida County Department of Social Services to coordinate services;
- G. Seek funding from public and private sources to maintain and enhance resident service programs;
- H. Continue to develop and maintain resident associations and leadership development training programs;
- I. Apply for and implement agency resident service programs;
- J. Seek funding to continue the operation of youth corps training programs;
- K. Develop meaningful activities that recognize citizenship, service, leadership, scholarship and character;
- L. Create new programs and services to assist refugee and immigrant resident groups to better access community services;
- M. Continue and expand the community garden program to assist residents to access low cost nutritious food as well as foster community identity and spirit;
- N. Coordinate the development of new disease prevention and community health prevention programs with community agencies such as the Oneida County Health Department and the Utica Community Health Center;
- O. Develop project site health clinics, prevention screening programs, and resident housekeeping and life skills education programs;
- P. Make application to HUD and other agencies to upgrade resident education/training, and self-sufficiency program sites;
- Q. Implement an AmeriCorps/VISTA volunteer program to provide education and job training services to public housing residents;
- R. Continue to expand community partnerships with human service agencies and educational institutions;
- S. Explore the development of new Neighborhood Networks computer centers at senior sites;
- T. Implement community center and computer lab for the residents of the Humphrey Gardens development.
- U. Continue to operate Central New York Community Solutions, Inc. and other not for profit corporations to raise funds for resident service programs;
- V. Continue applying to HUD resident service initiatives programs.

HUD Strategic Goal 6: Ensure Equal Opportunity in Housing

Objectives:

1. Continue the implementation of Section 504, ADA, and the Fair Housing Act with respect to Housing Authority programs and properties;

2. Continue to effectuate domestic violence policy and procedures;
3. Conduct required training on fair housing for UMHA staff;
3. Continue disseminating housing information to the community at-large through promotional materials, presentations, training seminars and counseling sessions on fair housing issues.

MAJOR CHALLENGES FACING THE UMHA 2020-2024

Like other housing authorities, the UMHA is facing unprecedented fiscal challenges as we seek to maintain our affordable housing stock and develop new housing units. We are serving a more diverse population - immigrants and refugees, individuals with disabilities, the long-term unemployed and underemployed - who have needs beyond just housing. Among the critical challenges we are confronting today are:

Long-Term Major federal cuts to public housing threaten long-term viability

Public Housing Agencies (PHAs) own and operate over 1.1 million units of federally subsidized public housing, providing affordable housing to families, the elderly, disabled persons, and veterans. Congress has significantly reduced funding for affordable housing programs during the last decade. Due to continued limited funding, the UMHA is unable to fully staff agency operations and has been unable to replace staff who have retired.

HUD's FY 2020 budget calls for safer, healthier, more affordable housing, but then proposes a 16 percent cut to HUD funding, slashing the public housing operating fund by 38 percent and zeroing out the capital fund. While eliminating the cap on RAD and providing \$100 million for the program, the HUD budget renders RAD effectively unusable with the proposed funding cuts to operating and capital funds. HUD's proposed funding for FY 2020 will result in significantly lowered funding prorations across public and assisted housing programs. As a result, there will be a substantial reduction in: the total number of assisted low-income households served; the total number of waiting list households that will be served; and a substantial reduction in the quality with which they will be served.

The Public Housing Operating Fund is the only major source of federal funds available to housing authorities, aside from tenant rent, to support public housing operations. Over the past several years, Congress has not provided the funding level calculated by formula to meet the full operating subsidy, but rather provided deeply prorated funding.

Public Housing Capital Fund: \$5.0 billion for the Capital Fund, to be distributed by formula, for FY 2020. The total Capital Fund backlog today is estimated to be in excess of \$50 billion. In the past, HUD has acknowledged that "Public Housing constitutes an economic and social asset that cannot be created or sustained by the private market. Replacing this inventory would be cost prohibitive. The Capital Fund preserves as many of these units as possible to mitigate the heightened costs of future replacement." Public Housing receives the lowest funding per unit of any of HUD's rental assistance programs, despite serving the same low-income populations. Public Housing is also unique because it is permanently affordable, with no threat of opt-outs. But as the public housing stock ages and its physical needs increase, chronic underfunding is

threatening the future viability of this important component of our national infrastructure. The President's budget would eliminate the Capital Fund in its entirety. Without sufficient funding, the Public Housing portfolio will continue to shrink. Previously HUD has stated that "[d]espite the addition of replacement public housing units, there has been a net loss of over 139,000 public housing units since FY 2000, representing an average loss of approximately 8,700 units annually."

Increased demand for affordable housing – Due to economic recession and continued high levels of unemployment in Central New York, many families are finding it increasingly difficult to find quality, affordable housing. More than 82% of Utica's housing was built prior to 1960. Many of the rental housing units are substandard and are not code compliant. At 3.14 percent among children younger than 6, Oneida County has the second highest rate of children with elevated blood lead levels in Upstate New York, according to New York State Department of Health. Due to low incomes of residents, many renters are cost-burdened and pay more than 30% of their income in rent. Many families may wait six months or longer to be placed into public housing.

Escalating need of UMHA residents for community and social service programs – Many of our residents are children, teens, disabled, seniors, and immigrants, who are often in need of health, nutrition, education, counseling, treatment, job training, and financial literacy programs to become self-sufficient. Funding for service providers has been sharply reduced and HUD is providing fewer grants to housing authorities to operate resident service programs. The UMHA will need to develop new revenue streams and funding mechanisms to continue to provide vital human service programs to residents. A major priority will be to access new financing to maintain the housing authority's successful AmeriCorps program and resident association ROSS programs once the UMHA converts to RAD.

Gaps in Resident Services

At a recent focus group of community agencies, residents, and advocates, the following gaps in resident services were noted:

- ✓ Lack of affordable child care options (many child care centers have closed due to declining subsidies) pose critical obstacles to parents seeking employment;
- ✓ Limited public transit makes it difficult for residents to find work in adjoining suburbs which have the most job growth;
- ✓ Most new jobs in the local economy do not pay living wages, have limited benefits, are part-time, and lack predictable work schedules;
- ✓ Due to cuts in human services funding, many supportive services have ceased and are no longer available;
- ✓ Language barriers make it difficult for our area's large non-English speaking population to qualify for higher paying job opportunities;
- ✓ The Central New York area has limited substance abuse services to address increasing heroin and opiate abuse problems;
- ✓ Many residents face barriers to accessing mental health services due to lack of providers and limited insurance options.

MEETING THE AFFORDABLE HOUSING CHALLENGE

The UMHA provides affordable homes to families, the elderly, disabled persons, and veterans and is an invaluable community housing and service resource. Although public housing is an integral component of our community's housing inventory, chronic federal underfunding of the Public Housing Capital and Operating Funds, coupled with burdensome over-regulation, has placed the inventory at risk. Public Housing inventory faces a mounting capital needs backlog, but Capital Fund appropriations continue to lag dangerously behind accruing modernization needs. At the same time, funding for operations has endured deep cuts, forcing PHAs such as UMHA to forego critical maintenance functions and further jeopardizing the long-term sustainability of many properties. It is imperative that policymakers renew their commitment to adequate funding for the program. In addition to providing resources, policymakers must also expand the suite of tools available to PHAs to manage and preserve their portfolios. PHAs must have broad access to financing tools that will allow them to tap into the value of their assets and leverage private capital.

Federal funding cuts in recent years have forced PHAs to make difficult decisions, forgoing preventative maintenance and putting off repairs in order to continue to manage the day-to-day operations of their properties. It is important that full federal funding be restored for operating costs and annual capital accrual needs of public housing. HUD should adjust the administrative burdens placed on PHAs to align with the resources provided. Opportunities for streamlining include environmental review thresholds, income verification, and rent calculations. In addition, Public Housing Assessment System scores should be advisory until funding is restored. Service coordinators through the Resident Opportunities and Supportive Services and Family Self-Sufficiency programs play a critical role in connecting public housing residents with appropriate social services. Renewal funding for these programs must be predictable and dependable to ensure PHAs can continue to uphold their commitments to their residents.

Under Section 9 regulations, PHAs are not allowed to access private funding, such as loans from a bank or private investment encouraged through the use of tax credits. As a result, PHAs have very few options for funding when the government limits or cuts funding for public housing. All three of these sources have limitations with rents capped at 30% of tenant income and federal funds are continuing to diminish over time. Incomes of public housing tenants, by and large, have not increased over the years creating a scenario where repair and renovation costs continue to climb as properties deteriorate, but revenue sources continue to decline.

The federal government has still not funded PHAs since 2003 at the level they have needed to keep up with their operating and capital needs. This has resulted in a \$26 billion capital backlog nationwide and declining conditions of apartments, building systems, and common spaces

The financial strain and persistent underfunding from the federal government is forcing UMHA to find additional funding strategies to plug the gap. RAD was created as a pilot program to test out whether a conversion from public housing to Section 8 could help PHAs repair, renovate, and return needed services to residents where they otherwise couldn't.

Section 8 was established in 1974, and allows private housing managers/owners to access federal funding to subsidize rent for low-income tenants. Section 8 therefore uses a combination of private and federal funding and has historically been a more stable source of funding. With market-rate rents and home sales prices continuing to rise, Public Housing plays a crucial role in maintaining affordable housing. The need to preserve existing units is a big part of why the Rental Assistance Demonstration (RAD) program was created in 2011. To preserve our public housing units, UMHA has applied to convert the entire portfolio of Public Housing units to Section 8.

RAD properties are subject to perpetual affordability requirements so there is no change to the population served. Additionally, UMHA will continue to manage and own the RAD developments, and RAD units will continue to be HUD subsidized.

HUD created RAD to ensure quality capital improvements are made to UMHA developments and renovation plans must anticipate and address the needs of a property for the next 20-years. This includes the rehabilitation of units, common areas, plumbing, and other projected needs over the next 20 years. A reserve fund will be created to address future repair needs so that properties do not fall into disrepair.

UMHA will serve as the developer of the RAD projects to ensure that will remain affordable under program regulations. The UMHA will continue to own the underlying land, participate as a majority owner in the property, and play a decision-making role even after RAD conversion.

Through the RAD program, long-term affordability and stability for existing public housing residents is also guaranteed. This is ensured through the 20-year Section 8 contract that HUD and the new owner must renew every 20 years. This contract mandates affordability levels for the development and determines the subsidy provided by the federal government. Rents remain at 30% of household income. Existing residents get grandfathered in and new tenants will come from UMHA's Section 8 waiting list.

Public housing tenants will retain the same basic rights before and after RAD conversion.

In summary, the benefits of RAD:

- Resident living conditions will considerably improve.
- Rents will remain the same for assisted residents.
- For almost all residents, rent will not change.
- Apartments are rehabilitated, with new amenities.
- Maintenance services will improve.
- UMHA will build up reserve accounts for future repair needs.

FY 2020 PRIORITIES

The UMHA major priorities for FY 2020 include the following:

1. Apply for and Implement the Rental Assistance Demonstration Project

The President's 2019 HUD budget request for \$33.8 billion for rental assistance programs represents an 11.2 percent cut in housing vouchers and public housing assistance. The budget calls for the Public Housing Capital Fund to be eliminated; the Public Housing Operating Fund to be cut just over 50% of the previous budget; minimum rents to be charged to residents; and work requirements for residents receiving assistance under PHA rental programs. Although the budget did not pass in its entirety, the intent of the administration is clearly in place and as policy further shifts in subsidized housing programs, funding reductions will continue.

With the intent of reducing PHA funding levels, decreasing the Federal footprint of rental assistance programs and facilitating a shift from the Public Housing funding platform to Housing Vouchers and Project-Based Rental Assistance, the 2019 budget added \$100 million to the rental assistance demonstration program (RAD). This shift in policy allows: the conversion of public housing to a public/private ownership structure; PHA's to obtain private funding and renovate, and re-build properties within a public private partnership structure. PHA's now must take on the reality of operating their housing portfolio with continuing diminishing funds or convert their public housing portfolio to public/private ownership

The Rental Assistance Demonstration (RAD) program transitions public housing (Section 9) into Section 8 housing and shifts ownership to a public-private partnership in order to access new sources of financing that will provide comprehensive repairs and modernization to public housing communities. Considering the multibillion-dollar decline in federal Section 9 funding renovation needs across its portfolio, UMHA must pursue innovative ways to fund the building and apartment upgrades as well as provide sufficient operating income for the future.

Responding to historical events surrounding the reduction of funding for public housing programs and faced with the current federal budget message, the Municipal Housing Authority of Utica (UMHA) has elected to restructure our public housing portfolio and use the assets to continue the mission of improving and expanding the supply of diverse, affordable and accessible housing in the City of Utica. The UMHA is planning to convert all of its public housing Section 9 units to Section 8 funding so its remains permanently affordable. Section 8 funding provides a more stable flow of federal subsidy and allows UMHA and its development partners to raise external financing to address a developments' capital repair needs. Residents will maintain their rights as UMHA residents, pay rent limited to 30 percent of their income, and remain in their buildings during the renovations, which will include new features such as kitchens, bathrooms, windows, elevators, boilers, and roofs and improved common areas.

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 Concourse Group was hired by UMHA to assist in developing the RAD Conversion and implementing the portfolio finance and development strategy, to facilitate meeting the overall mission of UMHA.

The underlying RAD Conversion strategy is to rebuild, renovate and construct housing that furthers the mission of UMHA. Basic to the strategy is the implementation of operations and management that will direct the portfolio redevelopment, as well as manage and operate the portfolio effectively and for long term sustainability.

Public Housing has been targeted for reductions due to capital expenses associated with the program. As properties age, expenses grow exponentially. Building systems need replacing, elevators require maintenance, plumbing and electrical systems show signs of age and deterioration. The reality is that Public Housing is expensive to operate and management and in its current form is no longer financially viable. It is a milestone moment for affordable rental housing in the United States. The game is changing. Public Housing is a dying program. Ultimately, the goal of the RAD demonstration program is to establish whether conversions by removing some uncertainty regarding the availability of future income streams, will attract debt and equity from private sources to address immediate and long-term capital needs and RAD represents an important tool for preserving and improving the UMHA properties. As importantly, the RAD solution will also protect the affordability and insure public ownership or control through long-term, renewable contracts and coterminous use-agreements.

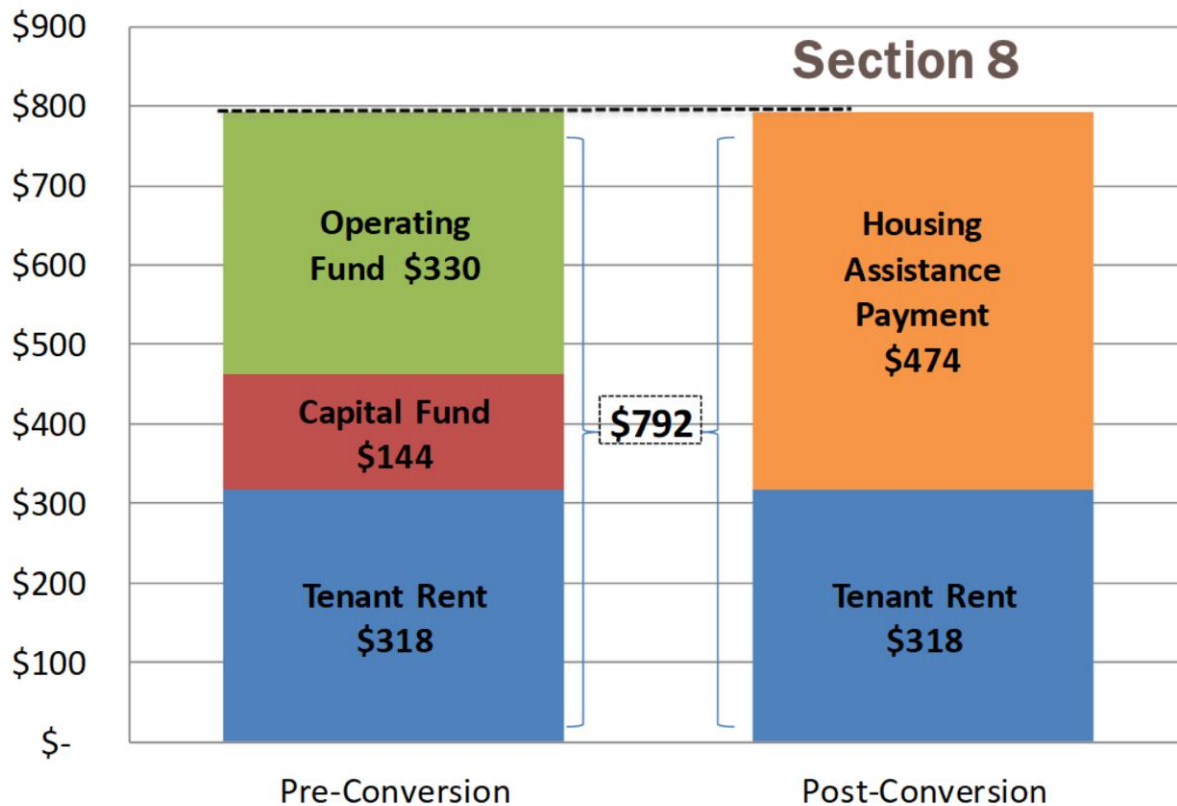
RAD will allow UMHA to breathe new life into the properties. Because public housing authorities do not have clear ownership of the properties, they cannot leverage financing needed to make major renovations or replace buildings. Under RAD, UMHA will be given ownership of their buildings to leverage funding, to improve, redevelop and long-term sustain the portfolio to carry out the mission and vision of UMHA.

RAD allows projects funded under the public housing program to convert their assistance to long-term, project-based Section 8 rental assistance contracts. Under RAD, public housing agencies (PHA) may choose between two forms of Section 8 Housing Assistance Payment (HAP) contracts: PBVs or PBRA. A few of the main components of RAD allows access to private capital markets; allows public and private debt and equity to invest in public housing stock; moves to Section 8 platform; presently residents continue to pay 30% of their income towards rent Residents maintain same basic rights as in public housing

UMHA will convert all public housing units to Project Based Rental Assistance units under the RAD program due to certainty of funding. The UMHA has elected to use the Project-Based Rental Assistance because it guarantees long-term 20 year Section 8 contracts.

No current UMHA resident will lose his or her housing and each household will pay rent under the same structure now in place. RAD will assist UMHA; to sustain and rebuild existing affordable units for years to come by moving the funding stream to a more stable HUD platform; and provide residents the opportunity to live in neighborhoods of choice responding to increasing demand for more affordable housing, creating new mixed-income communities.

Sample Public Housing Conversion Per Unit Monthly (PUM)



To move forward immediately with the strategy UMHA will take a multi directional approach to the renovation and repositioning of the UMHA portfolio, including:

- Acting as developer, UMHA will select contractors having certain skill sets and expertise. An RFQ will qualify each by experience with their product type and financial capability, not by pricing property improvements.
- Converting the UMHA portfolio to public/private ownership allows flexibility of renovation, redevelopment and finance utilizing combinations of the RAD program, Low Income Housing Tax Credits (LIHTC), Private Activity Bonds, HUD financing, private finance, and other potential sources of debt and equity. Every source of debt and equity will be explored to match the asset classification and deal sizing. Most likely debt for larger projects will be insured by HUD due to the overall favorable terms. There are several programs that are favorable for renovation of small multifamily and single-family units and the State of New York programs will be explored, as well. RAD was designed to fit nicely in the HUD 223(F) Pilot program combined with 4% LIHTC's. However, there are limitations including repairs of no greater than \$40,000 per unit and a renovation duration of no greater than 12 months. Most likely, each renovation within the portfolio

will require greater renovation dollars per unit and more timely renovation durations. Therefore, we can expect to utilize HUD 221 (D3) available to public, nonprofit, and cooperative mortgagors. HUD will insure up to 100 percent of replacement costs, if the project utilizes LIHTC's.

UMHA has essentially elected to stage the RAD conversion in three phases: Phase 1: Portfolio due diligence, Feasibility, Analysis and RAD Application - CHAP submission; Phase II: Finance and Development; Phase 3: CHAP Award and Closing. Thereafter, the renovation and construction phase will commence.

Highlights

Phase I:

RAD Application (3-4 months)

- Confirms project eligibility
- Ensure residents and Board consulted
- Application for CHAP Award
- Reserves conversion authority under the Federal cap
- Sets forth the contract rents

Phase 2:

Financing Plan (2-4 months)

- Demonstrates physical and financial viability and compliance with program requirements

Phase 3: (2-6 Months)

RAD Conversion Commitment (CHAP Award)

- HUD Approval of the Financing Plan
- Sets out terms of closing and construction

Closing and Conversion

- Removal of public housing ACC and Declaration of Trust
- Entry into Section 8 HAP Contract and RAD Use Agreement

Phase - Rehabilitation/Construction:

- Work completed in accordance with RCC

Typical timing from initial project feasibility to RAD conversion, ranges from 12-16 months. Once the CHAP is received from HUD, HUD will assign a transaction manager who will work with UMHA and our consultant and will facilitate the transaction for HUD until near closing. At that time, HUD will transfer the project to a closing manager who will work with UMHA and our consultant and will facilitate and coordinate the closing. Thereafter, once closed renovation and rehabilitation will begin and timing of each property renovation depends on the overall scope of the renovation depending on the PCNA (Property Condition) report.

2. Begin the implementation of the Roosevelt Residences

The UMHA and its development partner (Norstar Development USA, L.P.) have completed construction on the Roosevelt Residences project, a 50 unit scattered site affordable housing development in Utica. The Housing Authority received over \$16,000,000 in federal, state, local, and private funds to develop the project. Eleven sites will house 25 buildings consisting of 34 duplex units and 16 stacked flats

All 50 units are Low Income Housing Tax Credit. Of the 50, 25 are Project-Based vouchers provided by the UMHA. Seven (7) of the project's fifty (50) units are fully Accessible & Adapted and will be made available to prospective residents with either physical impairments (5 total units) or hearing and/or vision impairments (2 total units) and who qualify for a unit under the project's income guidelines.

Of the 50 units, eight will be designated for the homeless and will be financed by the Homeless Housing and Assistance Program. Of the eight units, five will be targeted to homeless veterans while the other three will be targeted to the chronically homeless. All the homeless units will be covered by the Project-Based Section 8 vouchers which will be provided by the UMHA as an in-kind contribution to the Project.

The Empire State Supportive Housing Initiative provided a grant of \$53,199 to the UMHA to provide case management services to Roosevelt Residences tenants.

The Project continues the redevelopment of the Corn Hill neighborhood which was begun by the UMHA's HOPE VI program. The area has experienced a significant disinvestment over the years, along with decreased population and employment opportunities. This Project also leveraged and supported other recent projects undertaken in the downtown area including the proposed new hospital.

3. Begin the operation of the Utica College Pioneer Village Housing Project

In 2019, construction was completed on the Utica College Pioneer Village Housing Project. The UMHA entered into an innovative public-private partnership with Utica College, Axiom Capital BBL Construction Services, and the Utica Industrial Development Agency to offer more housing options to students on the campus. The project consists of three student residence buildings, containing twelve gender-inclusive suites. Each suite has apartment-style with four bedrooms each, two full bathrooms, a kitchen with a dishwasher, and a washer and dryer in each unit. The Pioneer Village project also includes a separate community building that will feature a multi-media room, conference space, kitchen and other amenities. The community building and residential buildings is located next to the tennis courts, near the Todd and Jennifer Hutton Sports and Recreation Center, on the Utica College campus.

For the past few years, UC has rented space at the nearby Ramada Inn for students, providing busing to and from campus. The college has renovated and leased half of the hotel, in an area that

is secure from the public and other hotel guests. It has been UC's goal to bring those students back to campus.

The new buildings are offered to juniors, seniors and graduate students. The college currently has seven residence halls on campus, including two buildings for first-year students. This project will allow students to remain fully engaged in campus life and participate in community events.

This project benefits UMA by creating a new revenue stream to support agency public housing operations, offering public housing residents employment and educational opportunities, and establishing the housing authority as a community development leader in Central New York.

4. Begin the Implementation of the CFP Lead Grants

In 2018, HUD awarded the UMHA a \$1,000,000 Lead-Based Paint Capital Fund Program to help it identify and eliminate lead-based paint hazards in public housing in the Adrean Terrace, N.D. Peters Manor, and F.X. Matts Apartments, the oldest units in our inventory. UMHA received another lead grant of \$1,000,000 for the Gillmore Village/Humphrey Gardens AMP. Funds for both grants will be used to evaluate and reduce lead-based paint hazards in public housing by carrying out the activities of risk assessments, abatement, and interim controls. Through this grant, the UMHA intends to develop lead-free housing complexes for area residents. The UMHA has successfully used interim controls to ensure that units are lead safe. In fact, The Oneida County Health Department has referred children with lead poisoning to our units. Funding will be used to eliminate lead from common areas and residential units.

The UMHA is working with HUD to ensure that these funds are spent prior to the RAD conversion, thus reducing the debt load needed to finance improvements.

The City of Utica and Oneida County have historically high childhood lead poisoning rates. Oneida County has been ranked the highest of Upstate New York Counties and is now second highest. In 2017, 259 children under age 6, or nearly 17.5% of tested children, in the City of Utica had an elevated blood lead level of $\geq 5\mu\text{g/dL}$.

5. Engage Public Residents as Partners in Housing Management

Resident engagement is the foundation of successful and vibrant public housing communities. It fosters transformative relationships and increased ownership necessary to build communities of opportunity. Engagement brings meaning and relevance to housing management goals across a broad spectrum of players; and it encourages local innovations in supportive and affordable housing through creative problem solving.

Resident engagement is guided by a few key principles:

- ✓ Honor the wisdom, voice, and experience of residents.
- ✓ Treat participants with integrity and respect.

- ✓ Be transparent about motives and power dynamics.
- ✓ Share decision making and initiative leadership.
- ✓ Engage in continuous reflection and willingness to change course. Transformative engagement can be the difference between a successful initiative and one that falls well short of its potential. It enables highly technical or routine projects and processes to produce real, tangible, and lasting benefits for housing communities.

Summarized below are some of the most important benefits of engagement:

- ✓ Legitimacy and increased support for plans and projects. With the substantive engagement of affected communities, developed plans will reflect legitimacy, community support, and incorporate effective outcomes. Legitimacy builds trust, will, and ownership for effective implementation.
- ✓ Improved resident relations. Community engagement can build trust between diverse stakeholders and help improve the quality of difficult discussions about community development needs. By creating a multifaceted process built upon relationship building, trust, respect, and affirmation of community knowledge and power, more effective ways of dealing with difference will emerge.

Based upon Annual Plan meetings with residents, the UMHA will explore the feasibility of the implementation of the following resident engagement activities:

- ✓ Resident Advisory Meetings with Management,
- ✓ Neighborhood Watch,
- ✓ Resident led events to celebrate neighborhoods, diversity, and safety,
- ✓ AMP resident newsletters (digital and print),
- ✓ 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.

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;
- ✓ Established an outreach center at the Utica Public Library to reach low-income tenants;
- ✓ The UMHA's new nonprofit corporation – Central New York Community Solutions – received its first major grant from the New York State Office of Temporary and Disability Assistance to provide supportive services to the homeless residents of Roosevelt Residences.
- ✓ In cooperation with the Neighborhood Center, the UMHA continues to implement the nationally validated Circles Program build resident self-help and resiliency skills.
- ✓ The resident association at Chancellor Apartments meets on a regular basis and receives technical assistance from a local tenant empowerment program.
- ✓ 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.

6. Improve Resident Compliance

Federal and state law as well as HUD regulations specify only limited instances in which a PHA must terminate assistance or evict a household. Outside of these instances, a PHA or owner may evict a household only for serious or repeated violations of lease requirements. Many of the policies for termination of assistance and eviction, including those related to non-payment of rent or housekeeping standards, are at the discretion of the PHA or owner.

New York recently enacted the major revisions to its landlord/tenant law and provided new protections for tenants. The UMHA will revise its lease and operating procedures to ensure compliance with statutory changes.

As part of the RAD conversion process, the UMHA will develop new leases based upon the Project-Based Rental Assistance Rule and Low-Income Housing Tax Credit guidelines and revise its resident compliance rules.

However, ensuring resident compliance and preventing evictions are vital to managing effective affordable housing communities. The UMHA is examining the feasibility of implementing the following methods to promote compliance and help residents maintain occupancy:

- Create a tracking system to catalog lease violations, standardize behaviors and actions which are considered to be violations of the lease, and provide notice to tenants who violate the lease and create an opportunity to come into compliance with the lease;
- Implemented smoke free policies and required residents to execute a lease addendum;
- Partner with community providers that can provide Housing Stabilization Supports, Financial Literacy, and Case Management Services to help tenants address problem behaviors, such as noise, disruptive visitors, or housekeeping issues that can result in lease violations;
- Enter into service plans with residents and community agencies stipulating a strict time line for repayment of rent and improved adherence to the lease;
- Develop a standardized system for obtaining documentation of lease violations which can be used effectively in court to evict tenants;
- Develop a protocol and time line to implement rent repayment plans to include a provision that repeated defaults will lead to eviction;
- Include stronger language in the lease to facilitate evictions, if necessary.

7. Achieve fiscal stability in light of reduced federal funding.

The funding for public housing programs continues to be shaped by fiscal policy at the national level. During the past year, the UMHA has made important steps to boost future revenues as well as lower operating costs. Increases in pension and employee health care expenses create an on-going strain on the housing authority's cost structure. It is likely that for the foreseeable future, despite recent increases in funding, the UMHA will continue to face continued deep cuts in its federally funded operating and capital fund programs. It is important that full funding for public housing be provided in accordance with HUD's eligibility formula to prevent future budget reductions to housing authorities.

In order to ensure long-term financial stability, the UMHA will apply for the RAD program to renovate its units and capitalize operating and capital reserves. The RAD program will allow the UMHA to access new sources of capital to finance repair needs. To ensure fiscal stability, we will diversify our funding base, develop new units, maximize program dollars, reduce operating expenses, increase earned revenue, and cultivate new business-development capabilities and public-private partnerships such as the Utica College project.. In 2015, the UMHA created a tax-exempt wholly-owned and controlled subsidiary which allow the UMHA to seek funding from foundations, corporations, and government agencies which are usually not available to public entities. The new Roosevelt Residences, Verona, and Utica College projects will help the UMHA to earn developer and management fees to assist with its overall budget.

8. Expand the supply of new public and affordable housing

The model for developing and maintaining public housing stock has witnessed major changes. In this changed funding milieu, the UMHA must create creative and innovative strategies to use alternative sources of funding to meet affordable housing needs in Utica. It is important for the housing authority to develop partnerships with private investors and public agencies to develop

affordable and mixed-income housing and as well as mixed-use projects that combine housing and other uses.

During the next five years, in order to meet critical housing needs in our community and create new revenue streams, the UMHA will explore the feasibility of developing new affordable housing units.

During the last year, the UMHA made significant progress in creating new housing units:

- In partnership with Norstar Development USA, L.P. a national housing development firm with extensive experience with housing authorities, the UMHA completed the construction on 50 affordable scattered site rental units in the Cornhill neighborhood of Utica as part of the Roosevelt Residences Project;
- In partnership with Utica College, the UMHA along with Axiom Capital BBL Construction Services, and the Utica Industrial Development Agency has completed construction on a privately financed (without HUD funds) student housing project called “Pioneer Village.”
- The Oneida Housing Authority and the UMHA have received funding to begin the construction of a senior-disabled housing development in Verona, New York at a site of a former elementary school. This will project will be completed in spring 202.

In 2019, the UMHA submitted an application to HUD convert its entire portfolio to the Section 8 units through the RAD program. Concurrently, the UMHA will submit applications for Low Income Housing Tax Credits, Federal Home Loan Bank, and other funding sources to cover rehabilitation costs. If the RAD application is not successful, it will submit mixed finance application to HUD and explore public housing “repositioning tools” other than through RAD (e.g., Section 18 disposition, Section 22 Voluntary Conversion, or 2 CFR part 200 retention).

Projects which the UMHA is contemplating developing between 2015 and 2019 include:

- Modernizing the current inventory of assisted housing,
- Purchasing affordable housing projects,
- Supportive housing for the disabled and homeless,
- Assistive living for the frail elderly,
- Live/work housing for artists and creative professionals,
- Senior Housing,
- Mixed income housing;
- Respite housing;
- Multi-family housing,
- Housing for survivors of domestic violence;
- Artist/creative professional housing.

The UMHA intends to engage in the following projects:

- Developing Housing Development Fund Corporations in concert with developers to leverage funding for affordable housing preservation projects;
- Purchasing affordable housing development projects, particularly, Project-Based Section 8 properties, to preserve these units for low-income households.

The UMHA has about 175 unused ACC subsidies and the potentiality for using some of its Project-based Section 8 units to help fund project operating costs. Although the UMHA chose not to apply for the Rental Demonstration Program in 2013, it will continue to explore the feasibility of using this and other funding sources to initiate a comprehensive modernization program of its public housing units.

In order to enhance voucher utilization, recruit more landlords, and provide fair housing choices, the UMHA will be expanding its jurisdiction of its Section 8 program beyond the City of Utica to the entire Oneida County. This initiative will assist HCV applicants and participants to secure housing in racially and economically diverse neighborhoods in a larger region.

The UMHA successfully administered the Enhanced Tenant-Based Housing Voucher Program for the Meadows at Middle Settlement Property in New Hartford, New York. The conversion helps meet local housing needs by providing rental assistance to eligible low-income tenants impacted by the conversion action and reducing the potential for displacement. In addition, the vouchers acquired through this process will help the UMHA to considerably expand its current voucher program. HUD permitted the UMHA to expand its jurisdiction to operate this program.

Pursuant to New York State law, the UMHA was organized at a time when housing authorities had no constraints on their jurisdictional boundaries. Therefore, it may operate on a regional basis.

9. Preserve and continue to make improvements to the housing authority's public housing stock

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.

10. Implement Continued Energy Efficiency and Green Improvements.

In 2016, the UMHA completed its \$4.2 million Energy Performance contract on our federal public housing properties. In 2018, the UMHA completed its Energy Performance Contract targeting our Section 8/New York State public housing project Chancellor Apartments. . It has generated significant costs savings and allowed the housing authority to install much needed energy conservation improvements. The UMHA was able to realize a \$278,468 rate reduction incentive as a result of purchasing utilities directly from suppliers. Its energy performance contracts have saved the housing authority \$300,000 annually. Energy improvements included interior and exterior lighting, water conservation, window replacement, programmable and high limit thermostats, refrigerator replacement, furnace and boiler replacement, installation of Safe T elements on stoves, domestic hot water replacement, heat pump unit replacement, and building envelope improvements. The New York State Energy Research and Development Authority provided rebates to the project. Funding from the UMHA's Federal Emergency Management Fire Prevention grant covered the cost of the installation of Safe-T-elements® on ranges to prevent stove fires and reduce energy costs. The Energy Performance Contract also consisted of resident energy education and Section 3 employment and training.

In 2016, UMHA completed work on the New York State Housing Trust Fund Corporation contract \$300,000 to replace windows in its Chancellor Project-Based Section 8/NYS public housing development. In addition, a second Energy Performance Contract amounting to \$2 million will involve energy conservation improvements to the Chancellor property such as interior and exterior lighting, water conservation, and domestic hot water heater replacement.

Energy Performance Contracting (EPC) is an innovative financing technique that uses cost savings from reduced energy consumption to repay the cost of installing energy conservation measures. The costs of the energy improvements are borne by the performance contractor and paid back out of the energy savings. The UMHA has successfully installed more than \$13 million in energy improvements to its public housing inventory through energy performance contracts and AARA funding.

During the next five years, the UMHA intends to pursue additional funding for energy and green improvements, new green space, playgrounds, and parks for our residents, job training in green careers, and tenant energy conservation education.

As part of its RAD conversion and rehabilitation initiative, the UMHA will continue to install energy conservation and green improvements.

The UMHA is exploring the feasibility of developing a cogeneration facility at our Adrean Terrace AMP to produce energy and increase revenue for the housing authority.

11. Enhance the quality and delivery of maintenance services

In order to improve the quality of life of residents, it is important that the UMHA provide maintenance and repair services to our developments on a timely manner. Through management improvements, the UMHA has significantly reduced the number of open maintenance and repair work orders during the past year.

The UMHA will explore methods to increase unit turnaround time, continue to automate work order processing, provide customer follow-up monitoring of work orders, enhance preventive maintenance activities, 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.

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

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

Continued cuts to HUD subsidy funding have made it difficult for the UMHA to continue delivering quality security services. In order to maximize limited resources, the UMHA has changed the hours of its security personnel to effectively respond to our tenant needs. The hours now include late evening and early morning

During the last several years, the UMHA undertook the following measures to improve security at its properties:

- Applied on an annual basis for the HUD Capital Fund Emergency Safety and Security Grant;
- Hired an additional part-time housing security officer;
- Installed additional security cameras at Adrean Terrace
- Installed new web-based key fob entry system;
- Upgraded surveillance cameras at Humphrey Gardens;
- Installed secured lock boxes for rent collection at housing developments along with surveillance cameras;
- Installed a new emergency generator at the Perretta Twin Towers;
- Installed Safe-T-elements® on ranges in public housing units to prevent stove fires;
- Install security improvements such as LED lights, security cameras, emergency call system and gas powered emergency generator at the Chancellor Apartments;
- Adjusted hours of its security department to include late evening and early morning hours to better respond to tenant concerns;
- Purchased a new security vehicle and police scanner radios to offer better crime prevention services;
- Engaged an administrative detail staff person to focus on crime and drug activity at the Gillmore Village development which resulted in increased evictions and arrests;
- Retained two part-time security officer and an administrative detail staff person to focus on curbing crime and drug activity;
- Completed the installation of 3,000 smoke detectors as part of a joint UMHA and American Red Cross fire prevention initiative;
- Met with resident regarding security improvements and increased eviction effort targeted to residents violating lease terms;

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.

Based upon consultations with staff, residents, and community partners, the following are the major security needs of our public housing developments:

- Additional security cameras to increase coverage at all sites,
- Security equipment;
- Additional patrols to increase UMHA security visibility;
- Increased patrols of the Utica Police Department focusing on hot spots;
- On-demand computerized tenant information for security officers.

Resident associations will work with neighborhood groups to coordinate watch efforts. Representatives of the Utica Police Department Community Relations Unit will be asked to participate in Resident Association meetings. Residents have requested at Annual Plan roundtable meetings for the housing authority to provide fire safety training, increase visibility of the UMHA security forces, control access to developments, vary patrol schedules and routes, institute community-policing interventions (e.g., walking the beat), and increased security at entrances. A major priority will be to continue and expand the housing authority's commitment to ensure the safety and well-being of our residents. The UMHA Security Department will explore the feasibility of increasing its visibility and interaction with the tenant population to enhance resident engagement and enforce public housing rules.

13. Improve customer service for UMHA residents

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

- COMMUNICATION
- VISIBILITY
- INTERACTION
- RESPECT

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

By engaging in a "PEOPLE COME FIRST" philosophy and practice, the Housing Authority shall earn the trust, respect, and confidence of our residents and program recipients, which results in greater accountability, credibility, and more importantly, a satisfied program recipient.

From the Housing Authority's perspective, while housing may be our official "business," the best interests of people shall always remain our passion and ultimate priority.

Providing positive experiences with our thousands of public housing residents and improving their customer satisfaction are major priorities for FY 2020. During the last three years, the UMHA has greatly expanded its customer service programs and resident engagement efforts. The mission of the UMHA is to help our residents secure quality, affordable housing as well as achieve economic self-sufficiency. Our guiding philosophy is to always put our residents first. 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 developed a marketing committee to increase unit occupancy as well as to promote a more positive image of public housing in our community. The housing authority has published newsletters targeted to residents, held meeting with community agencies, and helped residents at the Humphrey Gardens to organize a resident association. The UMHA has retained a national firm to create a marketing and rebranding campaign. The housing authority is redesigning its web site to make it more customer friendly and allow self-service options.

It is well recognized that community development of public housing sites requires extensive community building, which is the active participation of residents in the process of strengthening community networks, programs and institutions. This widely supported community building approach seeks to acknowledge and tap into community assets and to prioritize community member voices and engagement. To that end, 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.

To ensure the UMHA is able to meet the needs of the growing population we serve, the UMHA is undertaking a marketing and re-branding initiative that will provide for an updated look with a new logo, website, ad campaign, new marketing visuals, and at the same time stressing our mission of putting people first.

In FY 2020, 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. This initiative involves professionalizing staff resources, providing customer service training to staff, enhancing communication with residents through newsletters and other methods, creating a new website, developing a comprehensive rebranding and marketing campaign, and improving customer data management systems. In FY 2020, 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. It will undertake efforts to increase marketing of its units and create additional opportunities

for resident participation. As enumerated previously, the welfare and best interests of our residents shall remain our primary and utmost priority.

The UMHA participates in the Homeless Management Information System to better serve the homeless. This system will enable the housing authority to identify homeless households in need of housing and services. The UMHA intends to apply for funding to become our area one-stop center/portal for accessing housing assistance.

The UMHA will undertake the following steps to ensure a superior customer experience once it converts to RAD:

- It will create a new lease based upon HUD template lease incorporating Project-Based Rental Assistance requirements.
- The ACOP will be discontinued and replaced with the HUD required Tenant Selection Policy.
- A new resident handbook will be developed consistent with the new HUD and Low Income Housing Tax Credit rules.

14. Maintain and Expand the UMHA resident service, self-sufficiency, and educational programs

Unlike most private landlords, the UMHA provides a broad range of services designed to address the needs of our diverse resident population. The housing authority has adopted a supportive housing model to integrate housing and services. Education and self-sufficiency programs and services are tailored to the needs of the population being housed. Supportive services can be either on-site or off-site. Housing and supportive services are interdependent; both are less effective in the absence of the other. Services are provided to help residents secure education, employment, food, job training, health, and income supports.

Despite funding cuts to HUD programs, the UMHA will continue to develop new programs and partnerships between the public and private sectors to improve the quality of services and programs for residents as well as to better meet our residents' educational, employment, health, and cultural needs.

During the past five years, the UMHA has significantly expanded its resident service programs:

- In 2019, the UMHA retained two independent contractors to expand services to the homeless and public housing residents. One of the contractors who is a licensed social worker provides therapeutic intervention and counseling for residents. The other contractor provides case management services to the homeless residents of the Roosevelt Residences as well as service coordination for public housing residents.

- Since 2012, through funding from The Community Foundation of Herkimer and Oneida Counties, United Way of the Valley and the Greater Utica Area, and the U.S. Corporation for National and Community Service, the UMHA has successfully implemented an AmeriCorps Program deploying 11 full-time (FTE) volunteers who provide housing referral and placement, coordinated job readiness, career education, life skills training, financial literacy training, veteran services, and supportive services to public housing as well as community residents. Due to the success of the program, the UMHA was awarded in 2018 a national AmeriCorps competitive grant which doubled funding and increased the number of full-time members to 20. This grant will enable the UMHA to create a community partnership whereby half of the new members will be placed at local agencies in Oneida, Herkimer, and Madison counties. The funding will be available for the next three years.
- In 2017, through funding provided by the United Way, New York State Department of State and the New York State of Temporary and Disability Assistance, the UMHA was awarded a special AmeriCorps program called the Empire Corps. A component of Governor Cuomo's Empire State Poverty Reduction Initiative, the program focused on the following outcomes: job training, financial literacy, housing, education, health and nutrition, and other areas related to the alleviation of poverty. The program deployed five AmeriCorps members.
- The UMHA has also helped residents form their own tenant associations which have been successful in securing HUD ROSS grants to provide service coordination for public housing residents. In 2014, new resident associations were formed at Humphrey Gardens and Chancellor Apartments. In 2015, each of the resident associations became incorporated to comply with HUD requirements and submitted applications to HUD for the refunding of their Service Coordinator grants. UMHA residents have attended state and national conferences focusing on tenant empowerment and leadership training. Our resident associations at the public housing developments have become incorporated and attained 501(c)(3) statuses.
- The AmeriCorps program has established an outreach center at the Utica Public Library, Cornerstone Church, and Our Savior Lutheran Church to provide evening-based services such as job placement, financial literacy education, and housing assistance to the public.
- On an annual basis, HUD has approved renewal grants for the UMHA Family Self-Sufficiency program for public housing residents. It plans to continue to operating this much needed program once units are converted to RAD.
- The Housing Authority has developed an effective partnership with the Oneida County Workforce Development and Workforce Development Board. These agencies have provided funding to the UMHA to operate the successful Fresh Start, Summer Youth Employment Program, Community Garden, and Paint Your Way to Success Program. In turn, the UMHA has served as a major source of referrals for the WDB Career Pathways for Youth, Youthbuild, and other job training programs. With the assistance

of the WDB, the UMHA has established mini one-stop employment centers at Gillmore Village, Adrean Terrace, and the Utica Public Library.

- Public housing authorities (PHAs) offer the health sector significant scale in numbers of households served, trusted access to individuals and families exhibiting complex health needs, local decision-making, and integration into communities — all of which could drive improved quality outcomes, create efficiencies, and encourage greater cost-effectiveness. The UMHA has pioneered exemplary partnerships with health agencies. During the past year, the Bridges to Tobacco Prevention Program has provided on-site technical assistance to help the UMHA implement its smoke free policies. The Lead Free Mohawk Valley Coalition assisted the UMHA with its successful application for two CFP lead grants.

The UMHA will maintain its commitment to providing supportive services to its residents once our portfolio is converted to RAD. The UMHA will continue to operate its Family Self-Sufficiency program. Although it will not be eligible for future ROSS grants, the housing authority will leverage new funding to maintain services for residents. Some grant opportunities will enable the UMHA to broaden its target population to include the entire community as well as its resident base.

The UMHA will help residents maintain resident associations, maintain funding for current resident service programs, explore the feasibility of upgrading playground facilities, examine the potential for creating resident convenience stores and Laundromats, obtain funding to purchase a van, and develop new resident training, leadership and job programs. Residents have asked for additional youth, senior, social, and community events and increased communication between tenants and management (e.g., newsletters, handbooks with house rules). In 2020, the UMHA will continue to implement the Circles/Building Bridges out of Poverty evidence-based poverty reduction intervention to realize long-term client outcomes. The UMHA will work with its new corporation – Central New York Community Solutions, Inc. – to leverage private and public dollars to enhance tenant services.

The UMHA plans to increase service availability during the evening and weekend hours to accommodate resident and client needs. It will also use its outreach centers to establish mini one-stop centers at its developments to serve the entire community.

15. Create sustained and meaningful partnerships with community partners to address local affordable housing needs and provide necessary supportive services to residents.

Public housing residents often have complex needs and are at risk for experiencing homelessness or housing instability. Partnerships between health, education, social service, and housing agencies can improve access to comprehensive services that support public housing residents. Even with the challenges of limited funding, strategic partnerships are able to strengthen communities by providing community-based preventive primary and behavioral health care, housing, employment, child care, and education programs to populations most in need.

Preserving the UMHA's existing affordable housing and developing new units will require meaningful, long-term collaboration with community partners as well as the private and public sectors. In light of continued budget cuts, it is also necessary for the UMHA to collaborate with public, nonprofit, private, and faith-based groups to effectively deliver social services to residents. Based upon meetings with local housing providers, nonprofit organizations, and community groups, the UMHA has been asked to take on a larger role in the development of community housing policy and creation of inter-agency collaborations to promote affordable housing.

The UMHA has undertaken the following steps to collaborate with partners at all levels of government and in the private and non-profit sectors:

- The Housing Authority is a member of the United Way sponsored Safe, Affordable Housing Coalition, City of Utica Housing Quality Task Force, Utica Housing Action Committee, Mohawk Valley Housing and Homeless Coalition (HUD Continuum of Care planning consortium), Refugee Service Providers Consortium, Access and Inclusion Committee, Literacy Coalition of Herkimer and Oneida Counties, Herkimer, Madison, Oneida Emerging Worker Committee, Compass of CNY, Oneida County Health Coalition, Oneida County Re-Entry Task Force, Empire State Poverty Reduction Initiative, and Lead-Free Mohawk Valley Coalition.
- As part of its statutory mission to ensure safe, affordable housing in the community, the UMHA is playing a leading role with respect to assisting the residents of a local apartment building which is rapidly deteriorating. The building has many significant code violations such as a leaking roof and has asbestos and lead contamination issues. The building is infested with rats, rodents, and bed bugs. In conjunction with other agencies, the UMHA is helping residents to relocate to new housing. The agency's AmeriCorps members are providing one-to-one assistance to the building's tenants and arranging for supportive services. The UMHA has made available Section 8 vouchers and public housing units for tenants.
- The UMHA participates in the Utica Empire State Poverty Reduction Initiative sponsored by New York State, the City of Utica, the County of Oneida, and the United Way.
- The UMHA has developed an inter-agency collaboration to implement its AmeriCorps program. The Mohawk Valley Resource Center for Refugees as well as Upstate Cerebral Palsy serve as partners and host sites for the program. This partnership makes available new resources to help New Americans and the disabled in our community.
- The UMHA has continued to partner with the Oneida County Workforce Development and Workforce Development Board to deliver quality youth employment services. This past year, the housing authority operated three youth job training programs including a summer youth employment, community garden/horticulture skills training, and a program for older out-of-school youth.
- The UMHA has developed collaborative relationships with the local faith-based community to help people in need. The AmeriCorps program has established satellite centers at Our Savior Lutheran Church and the Cornerstone Church. This initiative helps the housing authority to serve the wider community, focusing on high need populations such as people in recovery and the homeless.

- The UMHA has created a partnership with the Utica Public Library to serve central city residents. The housing authority operates evening workshops on job readiness, housing, and financial literacy as well as a computer lab.
- The UMHA staff are members of local boards of directors such as Mohawk Valley Community Action Agency, Inc., Mohawk Valley Latino Association, Mid-Utica Center, NAACP, Landmark Society of Greater Utica, Empire State Poverty Reduction, and the Mid Utica Community Center as well as participates in inter-agency collaborations such as Vision 2020, Genesis Group, Building Better Partners, and Mohawk Valley Nonprofit Leaders Group.
- The UMHA continues to host meetings of its program advisory council (Community Network Coalition) for its Family Self-Sufficiency, AmeriCorps and ROSS grant programs. These meetings help to ascertain community needs, build partnerships with local service providers, plan events and programs, and share information and resources.
- In 2016 and 2018, the UMHA held a fair housing training in collaboration with the CNY Fair Housing Council for community agencies, housing authorities, landlords, and property managers. A session is planned for 2019.
- The UMHA held two landlord training sessions in September 19 and 23, 2019. The workshops covered recent changes in the rent laws, codes, fire and Rental Occupancy inspections, and rehabilitation, lead remediation, and energy conservation programs available for landlords. The benefits of the agency's tenant-landlord matching program as well as the Housing Choice Voucher Program were discussed. The Utica Housing Authority will hold follow-up meetings to organize a landlord consortium to offer continued training and support as well as other services to help landlords maintain their properties.
- The UMHA has developed supportive service and cross referral relationships with the following agencies: Oneida County Department for the Aging and Planning, Oneida County Department of Health, Workforce Development Board, Oneida County Cooperative Extension, Mohawk Valley Community Action, Elderlife, Inc. (Parkway Center), Oneida County Workforce Development, Oneida County Department of Social Services, Utica Police Department, Mohawk Valley Community College, Central NY Veterans Outreach Center, Utica Fire Department, HomeOwnership Center, SoldierOn, Resource Center for Independent Living, Mohawk Valley Housing and Homeless Coalition, U.S. Department of Homeland Security, Upstate Cerebral Palsy, The Neighborhood Center, YWCA Mohawk Valley, Utica City School District, Madison-Oneida Board of Cooperative Education Services, Center for Family Life and Recovery, Catholic Charities, Insight House, Rotary, Greater Utica Community Food Resources, ACR Health, Clear Point Credit Counseling, Rescue Mission OnPoint for College, Oneida Square Projects, Women's Employment Center, Kids Oneida, CENTRO, ACCESS VR, Veteran Administration, Women's Empowerment Project, Mom's Meal, Your Neighbors, Legal Aid Society, Faith Furniture, Habitat for Humanity, Turning Point Church of Utica, St. Francis De Sales Church, Hope House,

FOCUS, Community Food Bank of Central New York, and Utica Community Health Center.

In FY 2020 and the next five years, the UMHA will continue to maintain and form new partnerships with the private and public sector to facilitate joint planning and coordination of federal housing resources. Community groups view the UMHA as an important resource that can be mobilized to help meet local housing needs. The housing authority will serve as a strong advocate for affordable housing and community-based planning. It will also increase its involvement in local childhood lead poisoning prevention efforts, fair housing initiatives, homeless and supportive housing, job training and placement, and refugee assistance activities.

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PART B - ANNUAL PLAN ELEMENTS

B. 1 REVISION OF PHA PLAN ELEMENTS

SECTION a.

STATEMENT OF HOUSING NEEDS AND STRATEGY FOR ADDRESSING HOUSING NEEDS

HOUSING NEEDS

The 2017 Kids Count Data ranks New York State 41st for economic well-being. Based upon the 2017 NYS Community Action Agency's Poverty Report, Oneida County has approximately 233,558 residents with 17.1% of the individuals living in poverty. Utica, however, has approximately 62,235 residents with:

- 30% of the individuals living in poverty
- 47% of the children below 18 years-old living in poverty
- 72% of the African American children living in poverty

Based upon the A.L.I.C.E. Report (Asset Limited, Income Constrained, Employed), done by Rutgers University, Utica also has 23,828 working poor households. When considering housing affordability, job opportunities and community resources, in addition to the 30% poverty rate, another 32% of the families struggle to afford basic needs. Utica rises to 62% of the residents financially unstable.

The extent of poverty in our area is demonstrated by the Home Relief/TANF, SNAP, and Medicaid caseloads of the Oneida County Department of Social Services:

Safety Net/TANF caseload in Oneida County

Oneida County	TANF funded		Local/State funds		Total cases
date	FA	SN-FP	SN-CSH	SN-FNP	
Jan	1514	21	1081	790	3406
Feb	1504	18	1102	786	3410
Mar	1471	21	1073	787	3352
Apr	1466	20	1056	786	3328
May	1465	22	1045	782	3314
Jun	1457	24	1037	756	3274
Jul	1437	21	1027	738	3223
Aug	1414	20	1051	737	3222
Sep	1376	22	1061	702	3161

SNAP and Medicaid

date	SNAP			Total cases
	Non TA	Mixed	TA/SNAP	
Jan	17,061	869	2,236	20,166
Feb	17,002	868	2,247	20,117
Mar	17,002	854	2,198	20,054
Apr	16,709	846	2,181	19,736
May	16,531	859	2,174	19,564
Jun	16,758	846	2,139	19,743
Jul	16,580	845	2,113	19,538
Aug	16,522	857	2,107	19,486
Sep	16,528	865	2,064	19,457

NOTE: Non TA – no one in SNAP household is on Temporary Assistance
 Mixed Household – not all household members are on Temporary Assistance
 TA/SNAP – everyone in household is on Temporary Assistance

Medicaid is not inclusive of Health Exchange Cases

Effective 10/16/18	CASES	INDIVIDUALS
Medicaid	9942	11667
Medicaid Presumptive Eligibility	173	173
MA-SSI	8478	8478
TOTAL	18593	20318

Housing was identified as a major priority in the City of Utica’s Empire State Poverty Reduction Initiative surveys and focus groups. Residents feel that the lack of affordable and quality housing, greater protections for tenants, and a landlord/tenant mediation program are major needs which should be addressed by local officials and agencies.

The response to the Housing Needs Section is presented in three parts: Overview of the County of Oneida Housing Needs, Housing Needs of the Families in the City of Utica (Consolidated Plan data), and Housing Needs of Families on the Public Housing and Housing Choice Waiting Lists.

ONEIDA COUNTY HOUSING NEEDS

The Municipal Housing Authority of the City of Utica, New York (UMHA) is located in the City of Utica, County of Oneida, State of New York. The UMHA seeks to become a regional housing provider, providing services and residential options to the Central New York area residents.

Oneida County has a total of 103,967 housing units. Of those, 12.9% are vacant. The rental market is tight, with a vacancy rate of 3.6%. Many of the housing units in Oneida County are old and in need of rehabilitation. Sixty-eight percent of the units were built prior to 1970. Sixty five percent of the units are owner-occupied. Forty two percent of the renters households pay more than 35 % of their income in rent.

The following table provides the fair market rates for Oneida County as well as income limits for federal housing programs:

Final FY 2019 FMRs By Unit Bedrooms					
Year	<u>Efficiency</u>	<u>One-Bedroom</u>	<u>Two-Bedroom</u>	<u>Three-Bedroom</u>	<u>Four-Bedroom</u>
FY 2019 FMR	\$556	\$608	\$786	\$985	\$1,072
<u>FY 2018 FMR</u>	\$571	\$600	\$780	\$978	\$1,062

FY 2019 INCOME LIMITS SUMMARY

FY 2019 Income Limit Area	<u>Median Income</u>	FY 2019 Income Limit Catego ry	1 Person	2 Person	3 Person	4 Person
Utica- Rome, NY MSA	\$65,000	<u>Very Low (50%) Income Limits</u>	\$24,650	\$28,200	\$31,700	\$35,200
		<u>Extrem ely Low (30%) Income Limits</u>	\$14,800	\$16,910	\$21,330	\$25,750
		Low (80%) Income Limits	\$39,450	\$45,050	\$50,700	\$56,300

The chart below summarizes the number and type of federally assisted housing complexes:

Oneida County’s federally assisted affordable rental housing stock includes properties financed through the following programs:

Program	Properties	Units
Section 8	23	1,645
LIHTC	8	160
RD 515	8	232
Section 202	5	241
Public Housing	13	1,204
Total	34	2,055

CITY OF UTICA HOUSING NEEDS

According to the 2006-2008 American Community Survey, approximately 45.9% of Utica’s 28,920 housing units were owner-occupied. Renter occupied units totaled 13,279, comprising 54.1 % of the housing stock.

There are currently about 1,767 applicants on the City of Utica’s Section 8 waiting list. Almost 90% of the applicants are extremely low-income. The greatest demand is for one bedroom units (70.34%). About 23% of applicant households have disabilities.

Housing needs for the City of Utica over the next five years must focus on the rehabilitation of the deteriorating housing stock throughout the City. This includes current homeowner rehabilitation, major systems repair for the elderly and continued elimination of the substandard housing for low-income and extremely low-income families. Additionally, as in past years, the City continues to push for greater increases in homeownership, considering various incentives to increase homeownership beyond the 50% level.

The housing stock within the City is very old. As such, many of the City's low-income and elderly residents live in housing that creates a very high cost burden on the owner or is substandard. Additionally, this is no longer an isolated condition as the concern is being heard through all the City's neighborhoods. Neighborhoods where homeownership was once the norm are starting to experience these issues. With this in mind, the City is looking to stabilize those neighborhoods, while at the same time revitalizing its worst neighborhoods from the inside out.

Based on the American Community Survey 2005-2008 for City of Utica, over one-third of the total housing units within the City of Utica are substandard (have a cost burden of greater than 30% of household income, involve overcrowded conditions, or are without complete kitchen and plumbing facilities). The overall age of the City's housing stock has created a situation, where although the demand for housing has decreased, the supply of safe, decent, and affordable housing has also decreased.

The most significant housing problem within the City of Utica is the cost burden faced by low/moderate income individuals. Sixty five percent of the population of the City of Utica has an annual income that is at or below the area median income. Of that 65%, 28% have a housing cost burden that is greater than 50% of their income and another 22% have a housing cost burden that is greater than 30% of their income. This high cost burden for the low/moderate income households within the City of Utica makes it far more difficult for individuals to maintain safe, affordable homes without sacrificing other essential needs. While the City of Utica is considered to be relatively affordable for individuals and families with incomes at or above the area median income, the aforementioned statistics demonstrate that almost two-thirds of the population of the City of Utica is living on less the area median income and is struggling with high cost burdens in relation to their household income. This is problematic for a number of reasons. First of all, high housing cost burdens are a contributing factor for homelessness. Additionally, individuals and families with high cost burdens are often unable to maintain their household, make essential repairs, and/or engage in necessary upkeep due to the limitation on their expenses. Finally, from a socio-economic perspective, individuals with high cost burdens are under more stress, less able to obtain healthy, natural foods, are less productive, and have more difficulty maintaining a stable household.

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

According to the local 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.

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.

Utica is Oneida County’s largest city and is a high-risk community for childhood lead poisoning. With nearly 40% of Utica’s children living in poverty, children in Utica are twice as likely to be poor as children throughout New York State. Since 95.7% of all the city’s dwelling units were built prior to 1978, and 53.5% built prior to 1940 representing a total of 27,904 units, the risk for elevated blood lead levels in children is extremely high. In addition, the City has experienced enormous growth in its immigrant and refugee population; more than 12,500 refugees from 31 different countries start new lives in this region; Utica’s refugee population has increased 15% as a result. Some of City’s most severe cases of elevated blood lead levels have occurred in immigrant and refugee children. Reducing the preventable lead hazards found in a large portion of dwellings located in the City’s most impoverished neighborhoods is necessary to ensure the safety and well-being of Utica’s young children.

The housing needs of the City of Utica are complex and are related to the economic and population trends of our region. As a result of focus groups and community meetings conducted as part of the community development planning process by the City of Utica, housing needs that were identified included demolition of vacant structures, quality and affordable housing, revitalization of several distressed public housing, lead hazard control, rental assistance for very low-income households, special needs housing, energy conservation, development of larger units, homeownership assistance, and foreclosure prevention.

Housing related requests for assistance are the major type of calls for our 2-1-1 Mid-York Contact Center for Oneida County. The following are the contact referrals for housing related assistance Utica as reported by 2-1-1 Counts (<http://211midyork.211counts.org/>) for the period of January 1-December 31 2018:

Housing Referrals: 2,044 (2018) 715 (2017)

Types of Calls

Percentage of Referrals by type:

Shelters: 29.3%

Low Cost Housing: 18.4%
Home Repair/Maintenance: 9.2%
Rent Assistance: 38.3%
Mortgage Assistance: <1%
Landlord/tenant issues: 3.9%
Other Housing: 0%

The 2,044 Housing related referrals were through the 24/7 contact center. These 2,044 do not include additional referrals made through use of the 2-1-1 Mid-York website.

Requested referrals for housing and shelter resources from Oneida County accounted for 26.6% of all of the referrals made for our region. Another 5.6% of all of 2-1-1 Mid-York's referrals were related to Utility issues (Electric and Gas inquiries leading top of the list).

As demonstrated by the chart below, there is a strong demand for affordable housing in the City of Utica. The City's Section 8 program has 1,609 households on its waiting list. The greatest need for housing is one bedroom apartments.

Statistics Report

Agency: 1 - City of Utica Section 8 Program
 Waiting List: 1 - City of Utica Section 8 Program
 Status: Active

TOTALS

Applicants on the City of Utica Section 8 Program List	1609	
Families with Children	389	24.18%
Elderly Families	98	6.09%
Families with Disabilities	324	20.14%

TOTALS BY INCOME PERCENTAGE

Extremely Low Income	1408	87.51%
Very Low Income	185	11.50%
Low Income	5	0.31%
Over Income Limit	1	0.06%
Incomplete Income Data	10	0.62%

TOTALS BY ETHNICITY

Hispanic	264	16.41%
Non-Hispanic	1173	72.90%

TOTALS BY RACIAL GROUP

Amer. Indian/Alaska Native	5	0.31%	Native Hawaiian/Pac. Island	3	0.19%
Asian	21	1.31%	White	830	51.58%
Black/African American	565	35.11%			

TOTALS BY PREFERENCE

Targeted Preference		Sixth Preference	
First Preference	310	Seventh Preference	
Second Preference		Eighth Preference	
Third Preference		Ninth Preference	
Fourth Preference		Tenth Preference	
Fifth Preference			

TOTALS BY BEDROOM SIZE

ALL APPLICANTS

1 BR	1058
2 BR	100
3 BR	65
4 BR	19
5/+ BR	5
0 BR	0

ELDERLY APPLICANTS

1 BR	58
2 BR	8
3 BR	0
4 BR	0
5/+ BR	0
0 BR	0

AVERAGE WAIT FOR SELECTED APPLICATIONS

Average Days	Applicants
1992	1609

Oneida County has the most reported cases of domestic violence in New York State. In 2014, there were 71 reports of domestic violence per 10,000 residents in Oneida County, compared to only 44 reports across the state (not including New York City). Rates of domestic violence rose 16 percent in Oneida County from 2009 to 2013, higher than the state average. The YWCA of the Mohawk Valley serves over 10,000 individuals each year in Oneida and Herkimer counties, including men, women and children.

HOMELESSNESS

The Utica, Rome/Oneida, Madison Counties Continuum of Care estimates that there are 1,400 homeless persons each year (June 2017). Of this number, 700 individuals are estimated adult males housed in local shelters like the Utica Rescue Mission and another 500 persons are in about 250 household units with dependent children who reside in shelters such as Emmaus House Utica, Johnson Park Center Family Shelter, and Hall House. Another 200 are street homeless persons including homeless youth and veterans.

The following data shows the number of homeless persons served by the Utica and Rome Oneida County Department of Social Services offices:

- Homeless Persons

Month	Rome	Utica
January 2018	95	111
February 2018	87	94
March 2018	72	101
April 2018	75	122
May 2018	63	126
June 2018	75	117
July 2018	76	113
August 2018	97	156
September 2018	125	110
Totals	765	1050

According to the City of Utica FY 2015-2019 Five Year Consolidated Plan (April 10, 2015), 938 persons were estimated to have experience homelessness over the course of a year and up to 95 were homeless each night. The following needs assessment provides estimated data based upon shelter utilization, surveys, and agency records during the past years:

Homeless Needs Assessment

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

The following is data on homelessness as compiled by the Homeless Management Information System:

Homeless Data 7/1/18 - 6/30/2019

1015 Homeless Households

128 households - no disability
 887 households - with disability
 743 were single person
 144 were families

Age Range:		
	18-24	71
	25-34	262
	35-44	212
	45-54	217
	55-61	102
	62-64	23

Data provided by the Mohawk Valley Housing Coalition and the Continuum of Care Point In Time surveys indicates that the number of homeless persons significantly increased between 2011 and 2013, but has declined since then due to new services and improved outreach in the community. The decline in local homelessness appears to reflect national trends. The Department of Housing and Urban Development reported that there are an estimated 610,042 homeless people in the U.S., down by 3.8 percent since 2010.

The following provides a chart showing the number of sheltered and unsheltered homeless persons and families in our service area based upon point in time surveys:

Total Homeless Persons and Households:

Sheltered and Unsheltered

2011: Households- **125**
 All Persons- **182**
 2013: Households- **136**
 All Persons- **200**
 2015: Households- **109**
 All Persons- **140**
 2016: Households- **109**
 All Persons- **143**
 2017 Households-**108**
 All persons- **162**

The number of homeless persons in emergency shelters was 84 in 2011, increased to 122 in 2013, and decreased to 84 in 2015. There were seventy-six persons in transitional housing in 2011, 61 in 2013, and 39 in 2015.

However, these Point In Time (PIT) survey results may belie the true extent of homelessness in our community. (PIT) counts are snap shots of homelessness in a community at a given time. Their accuracy is limited by factors such as poor weather on night of the PIT survey, limited volunteer outreach, and some interviewees refusing to complete PIT surveys. In predominantly rural areas like Oneida County, PIT surveys may have artificially low counts, because more difficult to count people spread out in areas with few shelters.

As with most communities, the extent of homelessness in Oneida County is not always readily apparent. The long-term “chronically” homeless that are seen every day on the streets are only a small portion of a much larger population of homeless. The rest are families and individuals who find themselves without a place to live for a period of time.

Local surveys and studies may be more accurate in measuring the true extent of homelessness. One recent survey uncovered a significant number of “invisible” homeless youth in our community. According to the 2011 Herkimer-Oneida Counties Comprehensive Planning Program Teen Assessment Project (TAP) Survey (a voluntary and anonymous student standardized survey of 2,240 seventh, ninth and eleventh grade Oneida County students), 5.4 % of area youth indicated they were homeless for a day or longer (on their own) in the past 12 months. Based on the extrapolation of this data to the general youth population, 1,876 youth were likely homeless or in at-risk housing situations each year in Oneida County.

A significant share of Oneida County residents is vulnerable to homelessness. This includes children and who are in poverty, mentally ill residents, veterans without support services, and individuals who are cared for by institutions such as jails, prisons and the foster care system. Among those who are homeless on a given day, many escape through income from employment or public benefits, or a combination of the two, that enables them to obtain housing. Often this housing is precariously held and overcrowded, often these residents remain vulnerable to repeated cycles of homelessness, and often they are damaged by the experience of homelessness. For many the condition of destitution, uprootedness, and disconnection from society becomes a life course.

Oneida County’s homeless include both sheltered and unsheltered residents and are not always accurately counted in official surveys. Individuals residing in emergency housing have no fixed, permanent place to live and can only stay for up to 30 days with some exceptions depending on the program. Also, many homeless persons in our area have no place to live when discharged, are incarcerated county jail, a local psychiatric hospital, or to the Addiction Crisis Center and similar short-term treatment programs are homeless if they have no place to live when discharged.

Many homeless individuals and families sleep in their car or van if they have one and will park in places hidden from public view 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 the Utica City limits. The housing authority and the Utica City School District has found a considerable number of homeless people living in parts, cars, and abandoned buildings.

HOUSING NEEDS OF FAMILIES ON THE UMHA PUBLIC HOUSING & HOUSING CHOICE WAITING LISTS

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)
- Rutgers 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).

Housing Needs of Families on the Waiting List Public Housing – Authority Wide			
Waiting list type: (select one) <input type="checkbox"/> Section 8 tenant-based assistance <input checked="" type="checkbox"/> Public Housing – Authority Wide <input type="checkbox"/> Combined Section 8 and Public Housing <input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional) If used, identify which development/sub-jurisdiction			
	# of families	% of total families	Annual Turnover
Waiting list total	180		NA – Please refer to each development or AMP.
Extremely low income <=30% AMI	159	88	
Very low income (>30% but <=50% AMI)	19	11	
Low income (>50% but <80% AMI)	2	1	
Families with children	82	46	
Single	88	49	
Elderly families	1	6	
Families with Disabilities	9	5	
Hawaiian	0	0%	
Race (White)	125	69	
Race (Black)	52	29	
Not Assigned	0	0	
Asian	3	2	
Ethnicity (Hispanic or Latino)	58	32	
Ethnicity (Not Hispanic/Latino)	122	68	
Ethnicity (Asian)	3	2	
Not Assigned	0	0	
Characteristics by Bedroom Size (Public Housing Only)			
0BR			
1BR	106	58	
2 BR	42	23	
3 BR	21	12	
4 BR	10	6	
5 BR	1	1	
5+ BR	0	0	
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes: HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)? Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List			
Perretta Twin Towers - 108 units - Low Income Public Housing (LIPH) – Senior/Disabled			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/sub-jurisdiction Perretta Twin Towers			
	# of families	% of total families	Annual Turnover
Waiting list total	14		30*
Extremely low income <=30% AMI	13	93	
Very low income (>30% but <=50% AMI)	0	0	
Low income (>50% but <80% AMI)	1	7	
Single			
Elderly families	1	7	
Disabled	13	93	
Race (White)	10	71	
Race (Black)	4	29	
Not Assigned			
Ethnicity (Hispanic or Latino)	7	50	
Ethnicity (Not Hispanic/Latino)	7	50	
Ethnicity (Asian)	0	0	
Not Assigned	0		
Characteristics by Bedroom Size (Public Housing Only)			
0BR			
1BR	14	100	
2 BR	0	0	
3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			
*Refers to the total Perretta Twin Towers and Marino-Ruggiero Apartments AMP.			

Housing Needs of Families on the Waiting List
Marino-Ruggerio Apartments 50 units -LIPH – Senior/Disabled

Waiting list type: (select one)

- Section 8 tenant-based assistance
 Public Housing
 Combined Section 8 and Public Housing
 Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/subjurisdiction: **Marino-Ruggerio Apartments**

	# of families	% of total families	Annual Turnover
Waiting list total	10		30*
Extremely low income <=30% AMI	8	80	
Very low income (>30% but <=50% AMI)	0	0	
Low income (>50% but <80% AMI)	2	20	
Families with children	0		
Elderly	2	20	
Disabled	8	80	
Race/ethnicity (White)	8	80	
Race/ethnicity (Black)	2	20	
Race/ethnicity Hispanic	2	20	
Race/ethnicity Not Hispanic	8	80	

Characteristics by
Bedroom Size (Public
Housing Only)

0BR	0		
1BR	10	100%	
2 BR	0		
3 BR	0		
4 BR	0		
5 BR	0		
5+ BR	0		

Is the waiting list closed (select one)? No Yes

If yes:

HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?

Does the PHA expect to reopen the list in the PHA Plan year? No Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed? No
 Yes

*Refers to the total Perretta Twin Towers and Marino-Ruggerio Apartments AMP.

Housing Needs of Families on the Waiting List Gillmore Village – 190 units – LIPH Multi-Family			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction: Gillmore Village			
	# of families	% of total families	Annual Turnover
Waiting list total	45		33*
Extremely low income <=30% AMI	37	82	
Very low income (>30% but <=50% AMI)	6	13	
Low income (>50% but <80% AMI)	2	5	
Families with children	18	40	
Single	20	44	
Elderly families	1	2	
Families with Disabilities	6	22	
Race (White)	25	56	
Race (Black)	17	38	
Not Assigned	0	0	
Ethnicity (Hispanic or Latino)	12	27	
Ethnicity (Not Hispanic/Latino)	33	73	
Ethnicity (Asian)	0	0	
Not Assigned	0	0	
Characteristics by Bedroom Size (Public Housing Only)			
0BR			
1BR	31	69	
2 BR	11	25	
3 BR	1	2	
4 BR	2	4	
5 BR	0	0	
5+ BR	0	0	
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			
*Refers to the total for the Gillmore Village – Duplex Homes AMP.			

**Housing Needs of Families on the Waiting List
Duplex Homes – 10 units - LIPH Multi-Family**

Waiting list type: (select one)

Section 8 tenant-based assistance

Public Housing

Combined Section 8 and Public Housing

Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/sub-jurisdiction **Duplex Homes**

	# of families	% of total families	Annual Turnover
Waiting list total	0		33*
Extremely low income <=30% AMI			
Very low income (>30% but <=50% AMI)			
Low income (>50% but <80% AMI)			
Families with children			
Single			
Elderly families			
Families with Disabilities			
Race (White)			
Race (Black)			
Not Assigned			
Ethnicity (Hispanic or Latino)			
Ethnicity (Not Hispanic/Latino)			
Ethnicity (Asian)			
Not Assigned			
Characteristics by Bedroom Size (Public Housing Only)			
0BR			
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			

Is the waiting list closed (select one)? No Yes

If yes:

HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?

Does the PHA expect to reopen the list in the PHA Plan year? No Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed? No Yes

*Refers to the total for the Gillmore Village – Duplex Homes AMP.

Housing Needs of Families on the Waiting List F.X. Matts – 59 units - LIPH Multi-Family			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/sub-jurisdiction F. X. Matts			
	# of families	% of total families	Annual Turnover 4
Waiting list total	20		68*
Extremely low income <=30% AMI	18	90	
Very low income (>30% but <=50% AMI)	2	10	
Low income (>50% but <80% AMI)	0	0	
Families with children	10	50	
Single	7	16	
Elderly families	1	5	
Families with Disabilities	2	4	
Race (White)	16	80	
Race (Black)	3	15	
Not Assigned	0	0	
Ethnicity (Hispanic or Latino)	10	50	
Ethnicity (Not Hispanic/Latino)	10	50	
Ethnicity (Asian)	1	5	
Not Assigned	0		
Characteristics by Bedroom Size (Public Housing Only)			
0BR			
1BR	10	50	
2 BR	9	45	
3 BR	1	5	
4 BR	0	0	
5 BR	0	0	
5+ BR	0	0	
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			
*Refers to the total for the Adrean Terrace, F.X. Matts, and N.D. Peters Manor AMP.			

Housing Needs of Families on the Waiting List Adrean Terrace – 201 units - LIPH Multi-Family			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction: Adrean Terrace			
	# of families	% of total families	Annual Turnover
Waiting list total	45		68*
Extremely low income <=30% AMI	38	85	
Very low income (>30% but <=50% AMI)	5	11	
Low income (>50% but <80% AMI)	2	4	
Families with children	22	49	
Single	19	42	
Elderly families	2	5	
Families with Disabilities	2	4	
Race (White)	30	67	
Race (Black)	13	29	
Not Assigned			
Ethnicity (Hispanic or Latino)	16	36	
Ethnicity (Not Hispanic/Latino)	29	64	
Ethnicity (Asian)	2	4	
Not Assigned	0	0	
Characteristics by Bedroom Size (Public Housing Only)			
0BR			
1BR	28	62	
2 BR	12	27	
3 BR	2	5	
4 BR	2	4	
5 BR	1	2	
5+ BR	0	0	
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			
*Refers to the total for the Adrean Terrace, F.X. Matts, and N.D. Peters Manor AMP.			

Housing Needs of Families on the Waiting List N.D. Peters Manor – 97 units - LIPH Multi-Family			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/sub-jurisdiction: N.D. Peters Manor			
	# of families	% of total families	Annual Turnover
Waiting list total	21		68*
Extremely low income <=30% AMI	17	81	
Very low income (>30% but <=50% AMI)	3	14	
Low income (>50% but <80% AMI)	1	5	
Families with children	11	52	
Single	7	33	
Elderly families	1	5	
Families with Disabilities	2	10	
Race (White)	15	71	
Race (Black)	5	24	
Not Assigned	0	0	
Ethnicity (Hispanic or Latino)	9	43	
Ethnicity (Not Hispanic/Latino)	12	57	
Ethnicity (Asian)	1	5	
Not Assigned	0	0	
Characteristics by Bedroom Size (Public Housing Only)			
0BR			
1BR	11	52	
2 BR	8	38	
3 BR	2	10	
4 BR	0	0	
5 BR	0	0	
5+ BR	0	0	
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			
*Refers to the total for the Adrean Terrace, F.X. Matts, and N.D. Peters Manor AMP.			

Housing Needs of Families on the Waiting List Humphrey Gardens – 108 units - LIPH Multi-Family			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/sub-jurisdiction: Humphrey Gardens			
	# of families	% of total families	Annual Turnover
Waiting list total	70		22*
Extremely low income <=30% AMI	65	93	
Very low income (>30% but <=50% AMI)	4	6	
Low income (>50% but <80% AMI)	1	1	
Families with children	37	53	
Single	16	23	
Elderly families	2	3	
Families with Disabilities	15	21	
Race (White)	46	66	
Race (Black)	23	33	
Not Assigned	0	0	
Ethnicity (Hispanic or Latino)	8	11	
Ethnicity (Not Hispanic/Latino)	62	88	
Ethnicity (Asian)	1	1	
Not Assigned	0	0	
Characteristics by Bedroom Size (Public Housing Only)			
0BR			
1BR	39	55	
2 BR	20	29	
3 BR	9	13	
4 BR	2	3	
5 BR	0		
5+ BR	0		
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List 819 Hamilton Street -9 units – LIPH			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/sub-jurisdiction 819 Hamilton Street			
	# of families	% of total families	Annual Turnover
Waiting list total	3		4
Extremely low income <=30% AMI	3	100	
Very low income (>30% but <=50% AMI)	0	0	
Low income (>50% but <80% AMI)	0	0	
Families with children			
Single	3	100	
Elderly families	0	0	
Families with Disabilities	0	0	
Race (White)	3	100	
Race (Black)			
Not Assigned			
Ethnicity (Hispanic or Latino)	0	0	
Ethnicity (Not Hispanic/Latino)	3	100	
Ethnicity (Asian)			
Not Assigned			
Characteristics by Bedroom Size (Public Housing Only)			
0BR	3	100	
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No			
<input type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List			
Chancellor Apartments – 93 units- Project-Based Section 8 Voucher NYS Senior-Disabled Public Housing*			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional) HUD Project-based Section 8/State Public Housing			
If used, identify which development/subjurisdiction: Chancellor Apartments*			
	# of families	% of total families	Annual Turnover
Waiting list total	16		10
Extremely low income <=30% AMI	10	63	
Very low income (>30% but <=50% AMI)	1	6	
Low income (>50% but <80% AMI)	5	31	
Families with children	2	12	
Elderly	3	19	
Disabled	11	69	
Race/ethnicity (White)	13	81	
Race/ethnicity (Black)	3	19	
Race/ethnicity (Hispanic)	1	6	
Race/ethnicity (non-Hispanic)	15	94	
Characteristics by Bedroom Size (Public Housing Only)			
0BR			
1BR	15	94	
2 BR	1	6	
3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			
*Chancellor Apartments is a New York State financed public housing project which has project-based Section 8 vouchers. It has no ACC units.			

Housing Needs of Families on the Waiting List Elderly Waiting list			
Waiting list type: (select one) <input type="checkbox"/> Section 8 tenant-based assistance <input type="checkbox"/> Public Housing <input type="checkbox"/> Combined Section 8 and Public Housing <input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional) If used, identify which development/subjurisdiction: Elderly			
	# of families	% of total families	Annual Turnover
Waiting list total	45		30*
Extremely low income <=30% AMI	36	80	
Very low income (>30% but <=50% AMI)	8	18	
Low income (>50% but <80% AMI)	1	2	
Families with children	0		
Elderly	6	13	
Disabled	39	87	
Race/ethnicity (White)	30	67	
Race/ethnicity (Black)	14	31	
Race/ethnicity (Hispanic)	12	27	
Race/ethnicity NonHispanic	33	73	
Not Assigned	1	2	
Characteristics by Bedroom Size (Public Housing Only)			
0BR	0		
1BR	42	93	
2 BR	3	7	
3 BR	0		
4 BR	0		
5 BR	0		
5+ BR	0		
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes: HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)? Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes *Refers to the total Perretta Twin Towers and Marino-Ruggiero Apartments AMP.			

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input checked="" type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing –			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/sub-jurisdiction Section 8 (Housing Choice Voucher)			
	# of families	% of total families	Annual Turnover
Waiting list total	619		
Extremely low income <=30% AMI	524	84.65%	
Very low income (>30% but <=50% AMI)	65	10.50%	
Low income (>50% but <80% AMI)	27	4.36%	
Families with children	406	765.59%	
Single	162	26.17%	
Elderly families	4	.65%	
Families with Disabilities	47	7.59%	
Race (White)	327	52.83%	
Race (Black)	279	45.07%	
Not Assigned	3	0.48%	
Ethnicity (Hispanic or Latino)	180	29.08%	
Ethnicity (Not Hispanic/Latino)	437	70.60%	
Ethnicity (Asian)			
Not Assigned	2	0.32%	
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List Steuben Village HOPE VI Mixed Finance Development – HOPE VI Mixed Finance – 49 Low-Income Housing Tax Credit (LIHTC) units (25 public housing)			
Waiting list type: (select one) <input type="checkbox"/> Section 8 tenant-based assistance <input type="checkbox"/> Public Housing <input type="checkbox"/> Combined Section 8 and Public Housing <input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional) If used, identify which development/sub-jurisdiction Steuben Village HOPE VI Mixed Finance Development			
	# of families	% of total families	Annual Turnover
Waiting list total	364		8
Extremely low income (<=30% AMI)	297	82%	
Very low income (>30% but <=50% AMI)	56	15%	
Low income (>50% but <80% AMI)	11	3%	
Families with children	239	66%	
Single	125	36%	
Elderly families	19	5%	
Families with Disabilities	18	5%	
Race (White)	115	32%	
Race (Black)	201	55%	
Not Assigned	48	13%	
Ethnicity (Hispanic or Latino)	259	71%	
Ethnicity (Not Hispanic/Latino)	101	28%	
Ethnicity (Asian)	0	0%	
Not Assigned	4	1%	
Characteristics by Bedroom Size (Public Housing Only)			
0BR	0	0	
1BR	125	34%	
2 BR	109	30%	
3 BR	100	27%	
4 BR	30	8%	
5 BR	0	0	
5+ BR	0	0	
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes: HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)? Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

**Housing Needs of Families on the Waiting List
Rutger Manor HOPE VI Mixed Finance Development HOPE VI Mixed Finance – 33
Low-Income Housing Tax Credit (LIHTC) units (21 public housing)**

Waiting list type: (select one)

- Section 8 tenant-based assistance
 Public Housing
 Combined Section 8 and Public Housing
 Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/sub-jurisdiction **Rutger Manor HOPE VI Mixed Finance Development**

	# of families	% of total families	Annual Turnover
Waiting list total	242		5
Extremely low income <=30% AMI	198	82%	
Very low income (>30% but <=50% AMI)	25	10%	
Low income (>50% but <80% AMI)	19	8%	
Families with children	239	99%	
Single	3	1%	
Elderly families	6	2%	
Families with Disabilities	18	7%	
Race (White)	68	28%	
Race (Black)	171	71%	
Not Assigned	3	1%	
Ethnicity (Hispanic or Latino)	52	35%	
Ethnicity (Not Hispanic/Latino)	188	64%	
Ethnicity (Asian)	0	0	
Not Assigned	2	1%	
Characteristics by Bedroom Size (Public Housing Only)			
0 BR	0	0	
1BR	0	0	
2 BR	112	46%	
3 BR	100	41%	
4 BR	30	13%	
5 BR	0	0	
5+ BR	0	0	
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

STRATEGY FOR ADDRESSING HOUSING NEEDS

The UMHA will continue to administer its current portfolio of affordable housing which provides safe, decent, and sanitary housing for low to extremely low-income families. In order to ensure financial stability and sufficient funding for improvements of our public housing community, UMHA has submitted an application for conversion to RAD for all Public Housing properties in its portfolio. It will also seek to leverage other financing (Low Income Housing Tax Credits, bonds, loans, etc.) to finance renovations.

We will work in partnership with other agencies such as City of Utica Department of Urban and Economic Development and the New York State Homes and Community Renewal to further our mission. The UMHA will seek opportunities that will increase the housing choices of low to very low-income families by applying for funds when available. Low to extremely low-income families (including elderly and disabled singles) need affordable, safe, and decent housing.

The UMHA will maintain its housing stock to ensure that all its housing meets the needs of low to extremely low-income families. We will administer our programs to ensure that vacancy rates are low and a swift turnover of units that are vacated to ensure applicants on the waiting list are served as soon as possible. The UMHA will also closely monitor utilization of the HCVP to ensure that when funds are available we can promptly serve wait list applicants. The UMHA will continue to review and update policies as needed to 1) comply with HUD requirements, 2) create policies that are fair and beneficial to the participants and 3) provide benefit to the program overall.

The UMHA consults with the City of Utica and the Continuum of Care regarding housing needs and housing development strategies on an on-going basis to ensure that our programs are coordinated with the local HUD Consolidated Plan for the use of CDBG and HOME funding as well as the City of Utica Master Plan. The UMHA submits to the City of Utica public housing information for its CAPER submission to HUD. We also plan to coordinate submission of our community-wide Affirmatively Furthering Fair Housing (AFFH) Plan with the City of Utica.

The UMHA has strong partnership with the Oneida County Department of Social Services to ensure that the housing needs of the very low income, those who are homeless or households with multiple social problems are met. Our staff closely coordinates services for homeless people with the new DSS deputy commissioner for homeless services.

The UMHA is a member of the Steering Committee of the Mohawk Valley Housing Coalition (Continuum of Care) and actively seeks homeless persons to apply for public housing. We also have partnerships with an array of nonprofit human services agencies serving populations in need (e.g., domestic violence victims, mentally ill, veterans, persons in recovery, disabled) to facilitate referrals of prospective residents and to help our residents access supportive services. We operate a homeless street outreach program and a Rapid Rehousing rental assistance program to place homeless people in permanent housing.

The UMHA is a participant in the Lead-Free Mohawk Valley which seeks to educate the community regarding childhood lead poisoning, as well as create local laws and policies to control lead in housing. Sponsored by The Community Foundation of Herkimer and Oneida Counties, Lead Free coalition has launched the Whole Home Demonstration Project which will remediate 10 homes in the West Utica program. The Lead Coalition has sponsored a series of community meetings and workshops on lead and is attempting to enact a local ordinance to prevent childhood lead poisoning through increased housing code enforcement. In conjunction with Coalition, the City of Utica received \$2,932,078 from the Lead-Based Paint Hazard Reduction grant program and \$600,000 in Healthy Homes Supplemental funding to remediate lead in 180 private housing units. The UMHA recently was recently awarded two HUD lead remediation grants for the Adrean Terrace and Gillmore Village AMPs.

Through its AmeriCorps program, the UMHA sponsors the Housing Opportunity Center which helps low-income people locate housing, access homeownership, home improvement, and energy conservation programs, educate tenants about their rights and responsibilities, and avert eviction. The UMHA housing units are located in our community's 211 system as well as the New York State Housing Search database. We have also developed a database of available apartment units in our community.

The UMHA is engaged in the development of the following projects to address community housing needs:

- UMHA will convert its entire inventory of public housing units to RAD;
- Construction has completed on the Roosevelt Residences in the Cornhill area of Utica which will provide affordable housing to families, disabled, veterans, and the homeless. The project will consist of 50 units, 25 of which are UMHA Project-Based Vouchers.
- The UMHA is partnering with the City of Oneida Housing Authority and the Parkway Center to renovate a former elementary school in Verona, New York into 50 units of housing for the aged, disabled, and homeless.
- The UMHA operates the Housing Opportunity Center which offers housing referral, placement, and tenant training to help housing vulnerable and the homeless find and maintain housing. The Center deploys a street outreach worker who identified street homeless people and links them with housing and community services.

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

Need: Shortage of affordable housing for all eligible populations

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

- Convert Section 9 Public housing units to Section 8 RAD units;

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

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

- Leverage affordable housing resources in the community through the creation of mixed-finance housing;
- Pursue housing resources other than public housing or Housing Choice Voucher tenant-based assistance;
- Develop affordable rental housing units for, the homeless, disabled, special needs populations, seniors, families, artists and creative professionals, and other groups;
- Continue to develop affordable homeownership units for low and moderate-income households.
- Develop partnerships with other housing authorities (e.g., Oneida Housing Authority) and private developers to create new affordable housing developments.
- Use the housing authority's bonding authority and ability to create housing development fund corporations to develop new housing opportunities.
- Purchase existing rental housing developments to preserve affordable housing opportunities.
- Use its Section 8 program to issue project-based contracts to ensure reliable rental income for affordable housing projects.
- Expand the jurisdiction of its Section 8 program to increase the landlord and applicant pool.

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

Strategy 3: Target available assistance to families:

- Adopt rent policies to support and encourage work;
- Promote the earned income disallowance in the calculation of monthly rental amounts and rental subsidy;
- Provide families with case management and employment, job training, and education services to enhance their ability to become self-sufficient.
- Facilitate the enrollment of eligible families into the Public Housing Family Self-Sufficiency Program.

Need: Specific Family Types: Families with Disabilities

Strategy 4: Target available assistance to Families with Disabilities:

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

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

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

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs;
- Counseling Housing Choice clients as to location of units outside of areas of poverty or minority concentration and assist them to locate those units;
- Implement deconcentration policies and procedures to increase racial, ethnic, and income diversity in our unit inventory.
- Provide language interpretation and translation services.
- Expand the jurisdiction of its Section 8 program to the entire Oneida County to promote fair housing choice.

SECTION b.

DECONCENTRATION AND OTHER POLICIES THAT GOVERN ELIGIBILITY, SELECTION, AND ADMISSIONS

Detailed language regarding rent determination for both the Public Housing and Section 8 programs can be found in the UMHA Admissions and Continued Occupancy Policy (ACOP) and the Section 8 Administrative Plan. Both documents are available upon request at all administrative offices and housing development locations.

The UMHA has updated its selection and admissions policies as well as intake forms to ensure compliance with new HUD requirements, collect demographic data, and ascertain the need for housing among high-risk groups, the homeless, and veterans. In addition, the UMHA has amended its Admissions and Continued Occupancy Policy, Lease, and operating policies and procedures to account for the following local and federal changes to housing management procedures as indicated by various Public Notices such as :

- Public and Indian Housing (PIH) Public Housing Program Policy on Emergency Call Systems
- Guidance on the Rate Reduction Incentive in Public Housing
- Rental Assistance Demonstration – Final Implementation, Revision 4
- Guidance on Reporting Public Housing Agency Executive Compensation Information for Calendar Year 2018
- Declaration of Trust or Declaration of Restrictive Covenants (DOT/DORC) Requirements
- Public Housing ACC Termination and PHA closeout
- Enhanced Voucher Minimum Rent Calculation for Families Whose Incomes Subsequently Increase After Having Experienced a Significant Decrease in Income
- Final Implementation of Public Housing Over-Income Limit under the Housing Opportunity Through Modernization Act of 2016 (HOTMA)
- Required Conversions
- Treatment of ABLE Accounts to HUD-Assisted Programs
- Implementation of Federal FY19 Funding Provisions for the Housing Choice Voucher
- Carbon Monoxide Detectors in HUD-Assisted Housing
- Standardization of REAC Inspection Notification Timelines

LOW-INCOME PUBLIC HOUSING

In previous years, the UMHA amended its admission preferences for low-income public housing in the following manner:

Involuntary Displacement (Disaster, Government Action, Action of Housing Owner,
Inaccessibility, Property Disposition) – First Priority;
Survivors of domestic violence – Second Priority
Homelessness – Third Priority
Lead poisoning – Fourth Priority

Other Preferences: Residents who live and/or work in the jurisdiction (City of Utica) – Fifth Priority
Residents who live and/or work in Oneida County –Sixth Priority

As part of our community effort to lower childhood lead poisoning rates, the UMHA will provide Information to applicants with young children to make them aware of childhood lead poisoning screening opportunities.

In 2018, the UMHA was awarded a Capital Fund Grant Lead remediation program grant in the amount of \$1,000,000 to assess and remediate lead hazards in the Adrean Terrace, N.D. Peters Manor, and F.X. Matt Apartments AMP. This grant will enable the housing authority to provide lead safe housing for children at risk of childhood lead poisoning.

In 2019, the UMHA received another Capital Fund Grant Lead for a \$1,000,000 for the Gilmore Village/Humphrey Gardens AMP.

EARNED INCOME DISREGARD

The UMHA has revised its operating procedures with regards to the Earned Income Disregard regulations. The final HUD rule (PIH 2016-05) eliminates the current, onerous 48-month “clock” which started and stopped based on residents’ employment status. Under the previous clock, residents could spread their 24 months of EID benefits over four years. The new, final rule imposes a new 24-month running clock on recipients, making the program administratively simpler.

Current regulations provide for an earned income disregard (EID) that permits certain tenants of public housing and persons with disabilities participating in the voucher program to accept a job without having their rent increased immediately due to their increased income. The EID is available for a total of 24 months, but those months may be spread across 48 months to account for intermittent job losses. PHAs are required to fully exclude income for the first 12 months of an EID, and to exclude at least 50% for the last 12 months.

The final rule eliminates the 48-month timeframe, limiting an EID to a 24-month period. However, the final rule will also eliminate the continuous employment requirement. Residents will be able to start and stop employment and still retain the EID, but the EID will only be available for up to 24 consecutive months from the date of the initial increase in annual income. For example, if someone becomes eligible for an EID, the 24-month period will not stop if employment ends or income declines. However, if employment is subsequently regained or income increases, the EID would again be available during the remainder of the 24-month period. After the 24-month period ends, an individual will no longer be eligible for an EID in the future.

REEXAMINATION OF INCOME FOR FIXED INCOMES

Under recent changes in HUD regulations (PIH 2016-05), the UMHA now has the option of conducting a streamlined income determination for any family member who has a fixed source of income, even if that person or family also has a non-fixed source of income. Upon admission to a program, a third-party verification of all income amounts will be required for all family members. A full income reexamination and redetermination must be performed every three years. In the intervening years, a streamlined income determination must be conducted by applying a verified cost of living adjustment (COLA) or current rate of interest to the previously verified or adjusted income amount.

HOUSING CHOICE VOUCHER PROGRAM

The UMHA has completed the enhanced Housing Choice Preservation Vouchers program in connection with the Meadows at Middle Settlement development in New Hartford, New York.

Enhanced vouchers are used to preserve housing units that might otherwise be lost due to housing conversion actions such as mortgage prepayments, project-based opt outs, some HUD enforcement actions, and HUD property disposition. Enhanced vouchers are a type of Tenant Protection Voucher also known as “sticky” vouchers because the enhanced assistance only applies if the voucher holder stays in the conversion project. If the family moves outside the development, the voucher reverts to a regular housing choice voucher and the regular HCV program rules apply.

As the administrator of the enhanced for the affected households residing in the development, the UMHA was responsible for completing and submitting the funding application for the vouchers, determining each individual family’s eligibility, reviewing proposed rents, and conducting Housing Quality Standards inspections for the potential units. It has the legal authority to operate enhanced voucher program since our jurisdiction is not fixed by state law. The project involved 141 vouchers.

The Meadows at Middle Settlement is a Section 236 HUD insured property that will be making prepayment on its mortgage. The project has significantly increased the UMHA’s voucher authority and will allow it to serve will local residents in need. Turnover of the enhanced vouchers will result in increased voucher authority available to the UMHA’s primary Housing Choice Voucher Program.

In order to enhance voucher utilization, recruit more landlords, and provide fair housing choices, the Utica Housing Authority will expand its jurisdiction of its Section 8 program beyond the City of Utica to the entire Oneida County. This initiative will assist HCV applicants and participants to secure housing in racially and economically diverse neighborhoods in a larger region. Residents find it difficult to find landlords who are willing to accept Section 8 vouchers in the City of Utica.

The program will provide vouchers for units outside of Utica. There will be a preference for people who live or work in Oneida County.

The UMHA successfully administered the Enhanced Tenant-Based Housing Voucher Program for the Meadows at Middle Settlement Property in New Hartford, New York which is outside of the

City of Utica. The vouchers acquired through this helped the UMHA to considerably expand its current voucher program. HUD permitted the UMHA to operate this program outside of its traditional jurisdiction.

Pursuant to New York State law, the UMHA was organized at a time when housing authorities had no constraints on their jurisdictional boundaries. The enabling legislation for the Syracuse Housing Authority, like the Utica Housing Authority, had no jurisdictional limits. Therefore, our housing authorities may operate anywhere in New York State.

The UMHA has approved twenty-five Project-Based Section 8 vouchers for the Roosevelt Residences project. The entire project, which will consist of 50 units, will target households with incomes at or below 60% of AMI. There will be twenty-five (25) units covered by a project based Section 8 contract that will make these units affordable up to 50% AMI. Of the 25 Project-Based units, five will be designated for homeless veterans and three for the chronically homeless populations. The first 36 units will be available January 1, 2019. The UMHA has added a preference for the Roosevelt Residence Project-Based Section 8 Program to ensure that vouchers are available for this important initiative.

Roosevelt Residences Project-Based Voucher (PBV) households may terminate the lease at any time after the first year of occupancy. The PBV household will be eligible for continued tenant-based assistance, in the form of a voucher or other comparable tenant-based rental assistance but must give advance written notice to the property manager in accordance with the lease and provide a copy of such notice to our Housing Choice Voucher program. If the family wishes to move with continued tenant-based assistance, the family must contact the Housing Choice Voucher Program to request the rental assistance prior to providing notice to terminate the lease.

The UMHA will be applying for the Foster Youth to Independence (FYI) initiative. Depending on voucher availability, HUD will provide Tenant Protection Vouchers (TPVs) to public housing agencies (PHAs) for youth aging out of foster care. The youth must be eligible under the Family Unification Program (FUP), at least 18 years of age but not more than 24 years of age, who have left foster care or will leave within 90 days, and who are homeless or at risk of homelessness. These vouchers would be accessed one household at a time. They cannot be used as project-based vouchers, but might be helpful for a supportive housing project such as the Olbston Apartments.

The UMHA will partner with a public child welfare agency (PCWA) – Oneida County Department of Social Services - that will identify FUP-eligible youth as well as review referrals from PHAs and Continuums of Care. The PCWA must have a priority system to determine which youth to recommend for an FYI TPV. The PCWA must also provide services for at least 36 months, but youth will not be required to participate in any of the available services as a condition of receiving the FYI TPV. The UMHA would adopt a preference to continue these households after the 36 month period.

The Utica Municipal Housing Authority applied for Mainstream program vouchers from HUD. These vouchers enable families having a person with disabilities to lease affordable private housing of their choice. Mainstream program vouchers also assist persons with disabilities who often face difficulties in locating suitable and accessible housing on the private market. Only a

family that includes a disabled person and is income eligible may receive a mainstream program voucher. Applicants will be selected from the Public Housing Authorities (PHA) housing choice voucher waiting list.

HUD is strongly encouraging housing authorities to target funds to assist non-elderly persons with disabilities who are transitioning out of institutional or other segregated settings, at serious risk of institutionalization, currently experiencing homelessness, previously experienced homelessness and currently a client in a permanent supportive housing or rapid rehousing 2 of 34 project, or those at risk of experiencing homelessness. In addition, housing authorities must formalize partnerships with and leverage resources from State Medicaid Agencies and various health and human services partner agencies or organizations.

Once funded, the UMHA must provide a preference in its administrative plan for non-elderly persons with disabilities who are transitioning out of institutional and other segregated settings, at serious risk of institutionalization, currently experiencing homelessness, previously experienced homelessness and currently a client in a permanent supportive housing or rapid rehousing project, and t at risk of experiencing homelessness An update to the administrative plan must be completed within six months of the award date.

DECONCENTRATION POLICY

The UMHA will monitor its admissions to ensure that at least 40 percent (40%) of families admitted to public housing in each fiscal year shall have incomes that do not exceed thirty percent (30%) of area median income of the PHA's jurisdiction. (Hereafter, families whose incomes do not exceed 30% of area median income will be referred to as "extremely low income families.") The UMHA shall have the discretion, at least annually, to exercise the "fungibility" provision of the Quality Housing and Work Responsibility Act of 1998 (QHWRA) by admitting less than 40 percent of "extremely low income families" to public housing in a fiscal year, to the extent that admissions of extremely low income families to the UMHA's voucher program during a PHA fiscal year exceeds the 75 percent minimum targeting requirement for the PHA's Section 8 Voucher Program. This fungibility provision discretion by the PHA is also reflected in the UMHA's Administrative Plan. The fungibility credits will be used to drop the annual requirement below 40 percent of admissions to public housing for extremely low-income families by the lowest of the following amounts: 1. The number of units equal to 10 percent (10%) of the number of newly available vouchers in the fiscal year; or 2. The number of public housing units that 1) are in public housing projects located in census tracts having a poverty rate of 30% or more, and 2) are made available for occupancy by and actually occupied in that year by, families other than extremely low-income families. The Fungibility Floor regardless of the above two amounts, in a fiscal year, at least 30% of the UMHA's admissions to public housing will be to extremely low-income families. The fungibility floor is the number of units that cause the UMHA's overall requirement for housing extremely low-income families to drop to 30% of its newly available units. Fungibility will only be utilized if the UMHA is anticipated to fall short of its 40% goal for new admissions to public housing. Once we have met the 40% targeted income requirement for new admissions of extremely low-income families, the UMHA will fill the remainder of its new

admission units with families whose incomes do not exceed 80% of the HUD approved area median income.

SECTION c. FINANCIAL RESOURCES

The UMHA successfully manages numerous federal, state and local grants. We have an exemplary accounting system that provides for the following: accurate, current and complete disclosure of the financial results of each federal and state funded program; records that identify adequately the source and application of funds for federal and state sponsored activities; effective control over and accountability for all funds, property, and other assets; comparison of outlays with budget amounts; written procedures for determining the reasonableness, allocation and allowability of costs; and accounting records supported by source documentation. UMHA fiscal staff has had extensive experience in grants management and program accounting.

The UMHA has expended grant funds on a timely basis and has had a record of regular drawdowns during the life of grants. UMHA has successfully leveraged in-kind funding and services for its grant programs. It has met and exceeded in-kind funding and performance requirements for its current and past federal and state grants. There are no material weaknesses or major audit findings.

Despite continued HUD subsidy cuts, the UMHA is continuing to develop new sources of revenue through housing development projects such as Roosevelt Residences, increased rental income from new Humphrey Gardens and F.X. Matt units, non-HUD grants, and entrepreneurial activities. The UMHA has developed a new separate not for profit corporation – Central New York Community Solutions – which will enable it to raise funds from corporations and foundations. In addition, the UMHA has assisted our three resident associations to become incorporated under New York State law and become 501(c)(3) tax-exempt organizations, thus enabling them to request charitable contributions. At the same time, it has been successful in reducing and avoiding costs. The UMHA was able to realize a \$278,468 rate reduction incentive as a result of purchasing utilities directly from suppliers. Its energy performance contracts have saved the housing authority \$300,000 annually. In addition, the Authority and its co-developer, BBL Construction Services, LLC, created a single purpose entity, known as Utica Property development LLC, to enter into a long-term ground lease with Utica College for purposes of constructing three (3) three (3) story buildings containing 144 beds plus two (2) residential directors units; one (1) story community building, inclusive of a residential directors unit; and 183 +/- parking spaces on the Utica College campus.

The following is a summary of housing authority financial resources:

1. Statement of Financial Resources

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2018 grants)		
a) Public Housing Operating Fund	3,275,910	
b) Public Housing Capital Fund	2,160,624	
c) HOPE VI Revitalization	0	
d) HOPE VI Demolition	0	
e) Annual Contributions for Section 8 Tenant-Based Assistance	1,256,083	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	0	
g) Resident Opportunity and Self-Sufficiency Grants	69,380	
h) Community Development Block Grant	0	
i) HOME	0	
Other Federal Grants (list below)	0	
AmeriCorps Grant	264,514	
PIH Safety and Security Grant	0	
Replacement Housing Factor	0	
2. Prior Year Federal Grants (unobligated funds only) (list below)		
Resident Opportunity & Self-Sufficiency Grants	0	
Capital Fund Recovery Grant	0	
ARRA Competitive Grants	0	
Replacement Housing Factor	0	
Public Housing Capital Fund	0	
3. Public Housing Dwelling Rental Income	2,848,908	PH Operations
4. Other income (list below)		
Interest on General Fund Investments	36,438	PH Operations
Other Income/Fraud Recovery	269,913	PH Operations
4. Non-federal sources (list below)		
Total resources	10,181,770	

SECTION d, RENT DETERMINATION

The FY2014 Omnibus Appropriations Act (PL 113-76) that funds federal discretionary programs through September 30, 2014 was passed by Congress and signed into law by President Obama on January 17, 2014. Under Section 210 of the law, housing authorities are required to increase public housing Flat Rents to a minimum of 80 percent of Fair Market Rent (FMR). The law's Flat Rent provision requires all public housing authorities to make requisite adjustments and come into compliance by June 1, 2014 with the exception that no family's rent will increase by more than 35 percent in any year. The impact to the housing authority and its residents is minimal since the UMHA revised its flat rent schedule in 2010. All current flat rents are in compliance.

Because the Brooke Amendment concerning income-based rents remains in effect even with this change in law, rent will not exceed 30% of income as public housing residents pay the lower of the flat rent or 30% of income. As a consequence, while the Flat Rent initiative will increase the rent for some households, any increase in rent will be subject to Brooke and may not exceed 30 percent of their income.

On May 20, 2014, HUD released PIH Notice 2014-12 (HA) providing guidance to housing authorities as to the implementation and compliance with the new law. HUD's PIH notice explains that, prior to the new law PHAs established flat rents based on the market rent of comparable units in the private, unassisted rental market. Paragraph (2)(B)(i) of Section 3(a) of the United States Housing Act of 1937 (the Act), as amended by Section 210, establishes new parameters that PHAs must use when determining flat rent amounts. Specifically, flat rents must now be:

- set at no less than 80 percent of the applicable Fair Market Rent (FMR); and PHAs may, but are not required to lower flat rents to 80 percent of the applicable FMR in years when the FMR decreases from the previous year. This provision applies to the FMRs published for fiscal year 2015 and beyond.

Housing Authorities are required to comply with the new law by June 1, 2014. HUD will consider PHAs to be in compliance with the new requirements if they have initiated the public hearing process by no later than June 1, 2014. HUD also requires PHAs to begin applying the new flat rent schedules to recertifying households and to new applicants beginning October 31, 2014.

If the new flat rent amount increases the family's rental payment by more than 35 percent, then the new flat rent amount must be phased in to ensure that a family would not experience an increase in their rental payment of more than 35 percent in any one year.

The UMHA conducts an annual review to ensure that its flat rents are in compliance with HUD regulations.

SECTION e. OPERATION AND MANAGEMENT

POLICY DOCUMENTS

The following is a list of UMHA's public housing management and maintenance policy documents, manuals and handbooks that contain our rules, standards, and policies that govern maintenance and management of public housing, and the polices governing Section 8 management:

- Admissions and Continued Occupancy Policy
- Section 8 Administrative Plan
- Family Self-Sufficiency Action Plan
- Procurement Policy

- UMHA assorted policies (Record retention, fiscal policies)

ACOP CHANGES

In October 2019, the UMHA updated its Admission and Continued Occupancy Policy (ACOP) to ensure that it is consistent with local, state, and federal law as well as HUD regulations. The revisions to the ACOP included:

- ✓ Revisions pertaining to Notice PIH 2019-18, which updated HUD's Verification Hierarchy;
- ✓ The addition of a new section on establishing minimum heating standards in public housing, as required by
- ✓ Notice PIH 2018-19;
- ✓ Modifications for Notice PIH 2018-24 on verifying Social Security numbers, Social Security and Supplemental Security Income (SSI) benefits, and the effective use of the EIV Identity Verification Report;
- ✓ Updates concerning guidance on the treatment of ABLE accounts detailed in Notice PIH 2019-09;
- ✓ Changes to account for Notice PIH 2019-11, which requires the PHA to publish and updated public housing over income limits in the ACOP;
- ✓ Revisions to ensure compliance with New York State Tenant Protection Act;
- ✓ Other changes and modifications to bring the content current with HUD regulations and guidance.

LEASE CHANGES

Based upon these changes, the UMHA will revise its lease and amend it to ensure consistency with the changes in the ACOP. The UMHA also plans to develop a resident handbook to streamline its public housing lease and better communicate policies to tenants.

For decades, public housing has served as the housing of last resort, with federal regulations increasingly favoring the neediest households. There are fewer traditional working class families in public housing and a greater number of hard house households. The hard to house include a range of high-need households, such as grandparents caring for grandchildren, families with disabled members, very large households, and multiple-barrier families coping with an array of difficult problems. The UMHA will seek to improve services to residents with support service needs. No resident can be forced to accept services; however, if the resident is not lease-compliant, disruptive, unsafe etc., the UMHA will require resident engagement in a services plan as a condition of continued occupancy. It will refer residents to local agencies with medical home programs to ensure that residents with chronic mental illness, HIV, alcoholism/substance abuse, and chronic health conditions receive necessary services. The medical home agency will develop a service plan with specific goals and timelines which will set conditions for continued occupancy.

The UMHA has revised its service, maintenance, and damage fees to reflect actual costs. The housing authority has also found it necessary to slightly increase the bulk cable fee charged to residents of its senior and disabled housing developments; with said flat rate charged to residents being substantially less than the comparable market rate charged to consumers within our community.

In 2019, the UMHA plans to amend its lease to reflect changes in the ACOP.

Once our RAD conversions have been approved, the UMHA will be using the HUD Multi-Family PBRA lease in place of the public housing lease. The ACOP will be discontinued and replaced with Tenant Selection Plans for each property. The schedule of fees will also be revised to reflect PBRA regulations. UMHA will provide training to staff on the new leases as well as new forms and procedures.

In 2019, the New York State enacted new tenant protection laws affecting public housing and other tenants. The UMHA will revise the public housing lease to reflect relevant changes. The following are the key provisions:

- Creates transformational protections for all residential tenants throughout the state.
- Bans the use of so-called “tenant blacklists” - protecting tenants who enforce their rights.
- Limits security deposits to one month’s rent and provides required procedures to ensure the landlord promptly returns the security deposit.
- Includes a wide variety of protections for tenants during the eviction process, including strengthening protections against retaliatory evictions.
- Creates the crime of unlawful eviction, where a landlord illegally locks out or uses force to evict a tenant, as a Class A Misdemeanor and also punishable by a civil penalty of between \$1,000 and \$10,000 per violation.
- Requires landlords to provide notice to tenants if they intend to increase the rent more than 5% or do not intend to renew the tenants’ lease.
- Provides tenants more time in eviction proceedings to get a lawyer, fix violations of the lease, or pay rent owed.
- Expands the ability of the court to stay an eviction for up to one year if the tenant cannot find a similar suitable dwelling in the same neighborhood after due and reasonable efforts or the eviction would cause extreme hardship.

In 2019, New York State has banned housing discrimination on the basis of lawful source of income. The new law was adopted as part of the final statewide budget agreement reached by Governor The Lawful Source of Income Non-Discrimination Act of 2019 amends New York State’s Human Rights Law to include source of income as a “protected class”, ensuring that landlords and other housing providers throughout the state cannot discriminate against renters in making housing decisions based on their use of a voucher or a rental subsidy. The law covers Section 8 Housing Choice and other vouchers and rental subsidies, as well as social security income, disability benefits, veterans’ benefits, child support, alimony and other legal non-wage income. The law requires housing providers to treat individuals using income from vouchers or rental subsidies as they treat people with income from employment. The UMHA will educate landlords and tenants regarding this new law which will help our Section 8 voucher holders access housing opportunities.

LEP SERVICES

Language for Limited English Proficiency Persons (LEP) can be a barrier to accessing important benefits or services, understanding and exercising important rights, complying with applicable responsibilities, or understanding other information provided by the public housing program. In certain circumstances, failure to ensure that LEP persons can effectively participate in or benefit from federally-assisted programs and activities may violate the prohibition under Title VI against discrimination on the basis of national origin. This part incorporates the Final Guidance to Federal Assistance Recipients Regarding Title VI Prohibition against National Origin Discrimination Affecting Limited English Proficient Persons, published January 22, 2007, in the *Federal Register*.

The UMHA will take affirmative steps to communicate with people who need services or information in a language other than English. It will increase use of language interpretation services including language lines and community volunteers. It will also seek to translate documents into primary resident language groups. The UMHA uses volunteers to help provide interpretation and translation services and offers residents and clients the use of the language line service.

HOUSING CHOICE ADMINISTRATIVE PLAN

On an annual basis, the UMHA revises its Housing Choice Voucher Administrative Plan to reflect alterations in federal regulations. It plans to make further revisions in subsequent Fiscal Years.

In 2019, the UMHA amended the Housing Choice Voucher (Section 8) Administrative Plan in the following ways:

- ✓ Changes to account for the voluntary adoption of Small Area Fair Market Rents (SAFMRs), as outlined in Notice PIH 2018-01;
- ✓ Updates concerning guidance on the treatment of ABLE accounts detailed in Notice PIH 2019-09;
- ✓ Revisions pertaining to Notice PIH 2018-18, which updated HUD's Verification Hierarchy;
- ✓ Modifications for Notice PIH 2018-24 on verifying Social Security numbers, Social Security and Supplemental Security Income (SSI) benefits, and the effective use of the EIV Identity Verification Report;
- ✓ Revisions to ensure compliance with new New York State Tenant Protection Act;
- ✓ Other clarifications and modifications to make sure the content is user-friendly, current, and in compliance with all HUD regulations and guidance.

PROCUREMENT POLICY

The U.S. Department of Housing and Urban Development (HUD) recently published a rule that made numerous changes to grant administration, procurement, and contracting requirements. The rule repealed the requirements found at Part 84 and Part 85 and replaced them with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards found at 2 CFR Part 200. The changes will affect state, local, and Indian tribal governments, as well as nonprofit organizations and public housing agencies that receive federal awards. Please note that the New York State Public Housing Law also governs the UMHA procurement policy. The UMHA will revise its procurement policy to reflect changes in federal law and regulations as well as HUD regulations and state requirements. It will amend its procurement policy to ensure

compliance with HUD guidance in reference to the Rental Demonstration Assistance (RAD) Project.

The following changes will be incorporated into the procurement policy:

Tangible Personal Benefit and Conflict of Interest - 2 CFR §200.318(c)(1): The language with respect to conflict of interest has been expanded from just “financial or other interest in” to also include “or a tangible personal benefit from” a firm considered for a contract. Thus, a PHA’s written standards of conduct must exclude an employee, officer, or agent from participating in the selection, award, or administration of a contract supported by a Federal award when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract.

Organizational Conflicts of Interest - 2 CFR §200.318(c)(2): While the former 24 CFR §85.36(c)(v) noted that organizational conflicts of interest presented a situation considered to be restrictive of competition (rather than full and open competition), the former “common rule” did not require written standards of conduct covering organizational conflicts of interest. “Organizational conflicts of interest means that because of relationships with a parent company, affiliate, or subsidiary organization, the non-Federal entity is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization.” 2 CFR §200.318(c)(2). This will require any PHA with an affiliate or instrumentality to adopt written standards of conduct covering organizational conflicts of interest.

Procurement by Small Purchase Procedures; Simplified Acquisition Threshold - 2 CFR 200.88; 2 CFR §200.320(b): The small purchase procurement method is for securing services, supplies, or other property that do not cost more than \$150,000 (as periodically adjusted for inflation). The simplified acquisition threshold was fixed at \$100,000 under 24 CFR §85.36(d)(1).

In 2019, HUD confirmed that the micro-purchase threshold and the simplified acquisition threshold have been increased. The new thresholds are as follows:

- the micro-purchase threshold is now \$10,000 (previously, it was \$3,500); and
- the simplified acquisition threshold is now \$250,000 (previously, it was \$100,000).

Contract Provisions for Non-Federal Entity Contracts Under Federal Awards - 2 CFR §200.326; Appendix II to Part 200: The contract provisions that must be included in a contract made by a PHA under the Federal award differ between 24 CFR §85.36(i) and 2 CFR Part 200. While the provisions of the former 24 CFR §85.36(i)(1- 3, 5-6, 12) are fairly similar (but note such things as citation changes or revised dollar amounts) to Appendix II, A-E and G, and the provisions of the former 24 CFR §85.36(i) (8) are relatable to Appendix II, F, there are deviations. Reporting, copyrights and rights in data, access, record retention and mandatory standards and policies relating to energy efficiency of the former 24 CFR §85.36(i)(7, 9-11, 13)

are no longer included under this heading. Appendix II to Part 200 adds H-J, Debarment and Suspension, Byrd Anti-Lobbying Amendment and a cross reference to 2 CFR §200.322 (regarding procurement of recovered materials).

RESIDENT FIRST INITIATIVE

The UMHA will continue to implement a multi-year “Resident First” initiative to improve the customer experience of persons applying for public housing and other affordable housing programs. This initiative will involve creating a housing counseling and referral program, periodic unit inspections, one-to-one counseling to help residents to avoid eviction, staff training to improve customer service, and the use of customer evaluation instruments.

During the past two years, the housing authority instituted the following initiatives to improve customer satisfaction:

1. Installation of web-based key fab system authority-wide;
2. Lockboxes installed at developments to make it easy for residents to pay rent;
3. Use of pre-applications to apply for public housing;
4. Development of a courtyard at the Perretta Twin Towers;
5. Creation of a new community garden at dispersed plots at Gillmore Village;
6. Door to door outreach to visit UMHA residents to identify service needs and make referrals;
7. Opening of resident center at Humphrey Gardens;
8. Landscaping improvements to various developments;
9. Painting program of apartments, common areas, and public areas;
10. Hired a HVAC specialist to reduce long-term maintenance costs and reduce outsourcing;
11. Retained additional laborers to fill open maintenance positions;
12. Hired a new tenant relations position at the Gillmore Village development to better improve efficiency;
13. Increased security staff by 2 part-time positions to ensure resident safety;
14. Participated in a community partnership to make improvements to the City-owned Gillmore Village Park;
15. Increased hours of operation during evenings and weekends for UMHA resident centers.

In FY 2020, the UMHA will consider implementing the following improvements to put residents first:

1. Creation of new resident newsletters;
2. Development of additional playgrounds at sites;
3. Creation of computer labs at senior and disabled sites including Chancellor Apartments, Humphrey Gardens, and Marino-Ruggiero Apartments;
4. Continued partnership with the Compassion Coalition to distribute frozen food meals to elderly and disabled residents.

SMOKE FREE POLICY

The U.S. Department of Housing and Urban Development's (HUD) final rule to restrict smoking in public housing went into effect on February 3, 2017. The rule requires public housing agencies (PHAs) administering public housing to adopt a smoke-free policy by July 30, 2018, which is 18 months from the effective date of the final rule. The policy must prohibit the use of "prohibited tobacco products" in all indoor areas, including individual living units, common areas, administrative office buildings, and outdoor areas within 25 feet of those areas.

The UMHA has adopted and implemented the smoke free policy in all its public housing and Section 8 developments as of July 30, 2018.

The rule covers public housing units, including scattered site and single-family properties. The rule excludes dwelling units in mixed-finance projects and does not apply to housing assisted under Section 8, PHA properties that have converted to project-based rental assistance contracts under the Rental Assistance Demonstration Program, or tribal housing. HUD continues to encourage excluded properties to voluntarily adopt smoke-free policies.

The rule prohibits the use of "prohibited tobacco products," which are defined as both "waterpipes (hookahs)" and "items that involve the ignition and burning of tobacco leaves, such as (but not limited to) cigarettes, cigars, and pipes." While the rule does not include electronic cigarettes (e-cigarettes) or other electronic smoking devices, PHAs can choose to prohibit the use of e-cigarettes in their smoke-free policies.

The rule prohibits smoking in all outdoor areas within 25 feet of housing and administrative office buildings, or to the PHA's property boundary in situations where the boundary is less than 25 feet. This 25-foot perimeter includes balconies, porches, decks, and any outdoor space within 25 feet. Any designated smoking areas would have to be outside the 25-foot buffer zone. While the rule does not cover outdoor areas beyond 25 feet of housing and administrative office buildings, it allows PHAs to create additional smoke-free outdoor areas like playgrounds or to make their entire grounds smoke-free.

The smoke-free policy must be included in the applicable PHA plans and tenant leases. Enforcement of the PHA's smoke-free policy is the responsibility of the local PHA, and the rule and accompanying documents include suggestions for compliance and enforcement. HUD may use PHA certifications to verify that PHAs have implemented smoke-free policies and use periodic inspections and audits to help monitor whether policies are being enforced.

The rule does not grandfather (i.e., legally allow the continuation of) existing smoke-free policies that do not meet the minimum HUD requirements. If a PHA has a policy that is less stringent than the HUD requirements (e.g., no buffer zone or only a 15-foot buffer zone where the property boundary allows for at least 25 feet), the PHA policy must be updated to be in line with the new HUD requirements. Smoke-free policies may go beyond the HUD requirements, including prohibiting the use of e-cigarettes and establishing entirely smoke-free grounds.

By July 30, 2018, all PHAs must adopt a smoke-free policy that meets the minimum HUD requirements by amending their applicable PHA plans and tenant leases. While PHAs have until

July 30, 2018 to fully implement their smoke-free policies, HUD clarified that PHA plan amendments require resident engagement and public meetings. HUD encourages PHAs to obtain board approval in the smoke-free policy adoption process.

The final rule prohibits the smoking of hookah pipes. The proposed rule did not include these products. HUD also provided further detail where commenters noted concerns, including issues related to partially enclosed structures and reasonable accommodations.

PHAs have until July 30, 2018 to comply with the rule. Any potential changes to the rule by HUD should be announced in the Federal Register. Congress could also amend the rule, but as of the date of this publication, no action has been taken to change the rule or its effective date.

As part of the Annual Plan process, the UMHA held meetings at each building/development to educate residents regarding the new smoke free regulations and obtain their input regarding local implementation. The UMHA Board of Commissioners approved the following smoking policy which was implemented on July 30, 2018.

UTICA MUNICIPAL HOUSING AUTHORITY SMOKE-FREE POLICY

The Utica Municipal Housing Authority is committed to providing a healthy, productive and respectful environment in which to live and work. Effective (date) smoking will be banned in and on all Utica Municipal Housing Authority (UMHA) managed housing properties, including but not limited to all buildings, apartments, dwelling units, offices, vehicles and common areas, unless otherwise designated. This policy applies to all persons entering properties of the Utica Municipal Housing Authority, including but not limited to, residents, guests, visitors, contractors, vendors, employees, staff, and volunteers.

All provisions, terms and conditions appearing in this smoke and tobacco-free policy are incorporated and made part of the Resident Dwelling Lease and the Employee Handbook. Smoke-free Public Housing is a US Department of Housing and Urban Development (HUD) Initiative, and through Notice and Regulation, HUD has provided Public Housing Authorities the right to implement such a policy.

POLICY

1.0 Unless otherwise designated, smoking is prohibited on all property owned by the Utica Municipal Housing Authority, be it private or common areas.

2.0 DEFINITIONS

2.1 “Smoke” or “smoking” means inhaling, exhaling, breathing, burning or carrying any lighted or heated cigar, cigarette, pipe, other smoking device for burning tobacco, other devise designed to accomplish, enable or imitate the act of smoking, or similar lighted product in any manner or in

any form, or any electronic or non-electronic device that provides a vapor of liquid nicotine and/or other substances which simulates smoking, be it e-cigarettes, e-cigars, e-pipes, hookahs, and all vapor/vaping devices or any other name referred to.

2.2 “Dwelling Unit” is defined as the residence occupied by a person(s), which are the interior and exterior spaces tied to a particular unit. This includes, but is not limited to, bedrooms, hallways, kitchens, bathrooms, and other space within the unit, as well as balconies, porches and patios.

2.3 “Common Spaces” are defined as areas within the building interior that are open to the public, including but not limited to, entryways, community parks and patios, balconies, porches roof terraces, hallways, elevators, management offices, community kitchens, community rooms, community bathrooms, lobbies, reception areas , laundry rooms, storeroom, stairwells, and any other area accessible to employees, residents and guests.

3.0 PROPERTY DETAILS

3.1 All areas of property owned and/ or managed by the Utica Municipal Housing Authority, be it dwelling units, high rises, and common areas, private or public, are smoke-free, unless otherwise designated.

4.0 MANAGEMENT RESPONSIBILITIES

4.1 The Utica Municipal Housing Authority shall post “No Smoking” signs at entrances and exits, as well as signs for designated smoking areas.

4.2 Receptacles will be provided by the Utica Municipal Housing Authority. All smoking residents and guests are required to dispose of their smoking materials in appropriate collection receptacles.

4.3 All residents will be given a copy of the smoking policy. This will be part of their signing the **new lease which contains the smoke free requirements.**

5.0 RESIDENT RESPONSIBILITIES

5.1 Resident agrees to refrain from and cause Resident’s household members, Resident’s guests, and other persons under Resident’s control to refrain from smoking of tobacco products, be it inhaling, exhaling, breathing, burning or carrying any lighted cigar, cigarette, pipe, or other smoking device for burning tobacco or similar lighted product in any manner or in any form, or any electronic or non-electronic device that provides a vapor of liquid nicotine and/or other substances which simulates smoking, be it e-cigarettes, e-cigars, e-pipes or any other name referred to, in all areas of property owned by the Utica Municipal Housing Authority, being both private and common, whether enclosed or outdoors, including but not limited to, all living units, community rooms, community bathrooms, lobbies, reception areas, hallways, laundry rooms, stairways, offices, entry ways, patios, porches, balconies, elevators, and within 50 feet from shared entrances, except for those areas designated by Landlord which shall permit smoking.

5.2 Residents will be responsible to inform all their guests and visitors that their dwelling unit and all areas of the Utica Municipal Housing Authority are smoke-free, unless otherwise designated, and that their housing may be affected by violators.

5.3 Resident acknowledges that the remedy for smoking within the apartment may be the assessment of a charge of up to two hundred and fifty dollars (\$250.00) for each smoking incident, after the first warning.

5.4 Smoking will be permitted in designated and limited areas only, which locations may be subject to change.

5.5 Residents are encouraged to promptly give Landlord a written statement of any incident where tobacco smoke is migrating into the Resident's unit from sources outside of the Resident's unit.

6.0 DISCLAIMERS

6.1 Resident acknowledges that Landlord's adoption of a non-smoking living environment does not make the Landlord or Landlord's agents, representatives, servants, and/or employees, the grantor of Resident's health or of the non-smoking condition of the Resident's unit and the common areas. UMHA is not a guarantor of Resident's well-being related to smoke-free environment. Residents understand and accept that landlord's adoption of a Non-smoking Policy, and efforts to enforce such policy, do not constitute representation or guarantee by the UMHA or any of its managing agents of any direct or consequential benefits to the Resident's health or well-being. UMHA will take reasonable steps to enforce the Non-smoking policy. UMHA will address violations of the policy upon UMHA's actual knowledge of the violation and the identity of the responsible Resident.

6.2 Resident acknowledges the Utica Municipal Housing Authority's adoption of a smoke-free living environment, and the efforts to designate the rental complex as smoke-free, does not in any way warranty (implied or expressed) or render UMHA's buildings and premises any safer, more habitable, or improved in terms of air quality standards than any other rental premises, or that they be free from secondhand smoke. Residents with respiratory ailments, allergies, or any other physical or mental condition relating to smoke are put on notice that Landlord does not assume any higher duty of care to enforce this policy than any other landlord obligation under the Lease. Resident understands and accepts that UMHA's adoption of a non-smoking living environment, and efforts to designate portions of the Property as non-smoking, do not in any way modify or add to the standard of care that UMHA has under applicable law to maintain the Property safe relative to air quality. UMHA makes no implied or express warranties that that the air quality will be higher than other comparable rental properties as a result of the Non-smoking Policy. UMHA cannot and does not warranty or promise that the Property will be free from second-hand smoke. UMHA's ability to police, monitor or enforce this Policy is dependent in part on voluntary compliance by Residents and Resident's guests.

6.3 Notice to Residents with respiratory ailments, allergies or other conditions related to smoke. This Policy constitutes notice that UMHA does not assume any duty of care to enforce this policy higher than that under the rental agreement.

7.0 VIOLATIONS

7.1 Any resident, including members of their household, guests, or visitors will be considered in violation of the Resident’s lease if found smoking in any UMHA facility or dwelling unit or anywhere on UMHA property not designated as a smoking area. Three (3) violations will be considered to be repeated violation of the material terms of the lease and will be cause for eviction.

SECTION f. GRIEVANCE PROCEDURES

Through its Final Rule “Streamlining Administrative Regulations for Public Housing, Housing Choice Voucher, Multifamily Housing, and Community Planning and Development Programs,” HUD has streamlined procedures relating to informal settlements, grievance procedures for failure to request a hearing and required escrow deposits, matters relating to transcripts, copies, and the conduct of the hearing. The rule also establishes expedited grievance processes for the termination of tenancy or eviction involving: criminal activity threatening the health, safety, or right to peaceful enjoyment for other residents or PHA employees, and drug or violent criminal activity on or off public housing properties. Additionally, the rule removes language requiring a hearing be held before a hearing panel, instead only requiring a hearing officer to be present. The UMHA is no longer required to consult resident organizations to select a hearing officer, but must describe its selection policies in their lease forms, any changes of which are subject to a 30-day comment period. The UMHA will continue to advise resident associations of its grievance procedures and policies. To that end, the UMHA will be revising its lease to include selection polices of hearing officers.

The UMHA will revise its grievance policy to reflect PBRA and HUD Multifamily rules.

SECTION g. HOMEOWNERSHIP PROGRAMS

As Utica’s largest landlord, the UMHA recognizes that homeownership, combined with the development of quality, affordable rental housing, is the key to neighborhood revitalization. For more than ten years, we have achieved remarkable progress in helping our residents and local renters to purchase their first homes. To date, we have constructed 55 new homes in the City of Utica and helped many others to purchase homes through our Family Self-Sufficiency program. Our area has many affordable homes for sale and services and programs like matched savings accounts are available to make buying a home easier.

The Municipal Housing Authority of the City of Utica, New York (UMHA) has administered homeownership development programs funded by the United States Department of Housing and

Urban Development HOPE VI, Replacement Housing Factor, and HOME programs. Under the Section 32 Program, the UMHA successfully completed the development of eight homeownership units which were financed through the Second Increment Replacement Housing Factor funding and the City of Utica HOME Program. The UMHA has completed the development and sale of 40 homeownership units through its HOPE VI program. An additional seven units have been developed in the West Utica area.

The Utica Municipal Housing Authority continues to monitor homes sold in our HOPE VI and other homeownership production program to ensure that owners comply with the terms of their regulatory agreements. Owners must obtain authorization from the UMHA if they wish to sell or refinance the properties. The UMHA conducts annual monitoring visits of the homes and assists owners who are facing foreclosure or difficulty in paying their mortgage payments and taxes.

At this time, the UMHA does not anticipate operating a homeownership production program. Through its AmeriCorps funded Housing Opportunity Center, the housing authority helps public housing residents and low-income households to access homeownership training and purchase programs.

On an annual basis, the AmeriCorps Housing Opportunity Center at the Utica Municipal Housing Authority holds a free workshop, "Thinking about Buying a Home?" The workshop covers aspects of buying a home, including determining whether homeownership is right for you, understanding credit, and finding the right mortgage. The Homeownership Center and local real estate professionals make presentations and provide resource information for first-time homebuyers. Over forty persons attended the workshop. The program is targeted to low-income residents, public housing tenants, and others with limited homeownership options. The last workshop was held on September 24, 2019. Our Family Self-Sufficiency Program has successfully assisted public housing residents to purchase homes using their escrow accounts.

The UMHA may apply to the following HUD programs with regards to homeownership programs:

- HOPE VI,
- Choice Neighborhood,
- City of Utica and State of New York HOME Programs,
- Housing Counseling Programs,
- Section 8 Homeownership Voucher Program.

Future homeownership development programs may include: 1) Developing a homeownership production program; and 2) Implementing a homeownership counseling program for public housing and community residents to include an individual development account program. Market studies and feasibility analyses will be conducted prior to the implementation of any homeownership housing program to ensure that it is a financially viable activity. The UMHA will seek to incorporate homeownership and mixed income approaches into its affordable housing rental production program. However, the priority of the housing authority will be the production of new affordable rental units.

Through the AmeriCorps Self-Sufficiency Resource Center, the UMHA provides pre-homeownership counseling and referrals. It works closely with the HomeOwnership Center in Utica to provide financial empowerment counseling and homeownership education.

SECTION h. COMMUNITY SERVICE AND SELF-SUFFICIENCY

COMMUNITY SERVICE REQUIREMENT

The UMHA will comply with HUD Notice PIH-2015-12 in connection with administering the Community Service and Self-Sufficiency Requirement. HUD has re-instated the generation of the Community Service and Self-Sufficiency monitoring report on a quarterly basis. The monitoring report includes tenants that have reported Wage or Welfare incomes on the HUD-50058. The monitoring report does not exclude tenants with disabilities. The report will be posted on the REAC web site and access will be provided to all PHAs. Each month, the UMHA will make corrections and changes in PIC as appropriate. The UMHA will review the 50058 coding reported for CSSR in the PIC system for their residents and will update any that do not conform to these requirements.

Currently, PHAs are required to review and determine annually whether public housing residents comply with the community service requirements. The final HUD Public Housing Streamlining rule allows a tenant to self-certify compliance with the requirement. It further requires that PHAs review a sample of self-certifications and validate their accuracy with third-party verification procedures currently in place.

According to requirements of Federal Law, all public housing residents who are not exempt must perform Community Service or Economic Self-Sufficiency activities for 8 hours each month as a condition of tenancy. The UMHA is considering amending its Community Service Policy to allow various credits for performing community service. During the Annual Recertification Review process the Authority will advise families of their Community Service status.

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

1. Holding monthly job development, financial literacy, and other education workshops to help residents complete their hours;
2. Trying to increase the opportunities available through resident association driven activities to fulfill this requirement;
3. Providing additional information to residents using letters, posters, and newsletter articles as well as the UMHA website (including UMHA activities that can be used to for Community Service and links to other websites with activities that can be found);
4. Making it easier to document service by working with resident associations to provide receipts for Community Service hours at suitable events/activities;

5. Providing community service credits for resident association activities, military services, and other activities. UMHA also will require not complying residents to meet with their Housing Relations staff.

SELF-SUFFICIENCY PROGRAMS

UMHA has consistently delivered high-quality resident self-sufficiency and employment programs on-time and within budget. Keys to success include: commitment to quality, equity and customer service; experienced human services staff; interdisciplinary project teams; and strong, well-established working relationships with project partners including a “single point of contact” approach that ensures efficient, clear communication and timely results.

UMHA has extensive experience administering AmeriCorps grants and other outcome-based federal grants. Each program is successfully meeting its outcomes on a timely basis. UMHA successfully administered three Neighborhood Networks Center grants. It has successfully completed Homeownership Supportive Services, ROSS Elderly/Disabled programs, ROSS Service Coordinator and Family Self-Sufficiency grants. Its three resident associations were recently approved for Service Coordinator renewal grants. The HUD Multi-Family Division provides on-going funding for the UMHA Chancellor Apartments Service Coordinator program which serves the frail elderly and disabled. Through a grant from the New York State Commission for the Blind and Visually Impaired, the housing authority employs a licensed social worker to provide counseling services. The Housing Authority has continually received HUD funding to operate its successful Family Self-Sufficiency Program.

Since 2012, the New York State Commission on National & Community Service has awarded the UMHA funding to deploy AmeriCorps members to implement the outcome-based Utica Public Housing AmeriCorps program. The Community Foundation, United Way, Workforce Development Board and Upstate Cerebral Palsy also provided match funding. In 2018, the program received a national competitive grant which doubled funding and number of AmeriCorps members. The program is based upon Cornell Empowering Families Project's Family Development and Bridges out of Poverty anti-poverty reduction research-based model and uses a rigorous evaluation protocol.

The following is an updated listing of our resident self-sufficiency programs:

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size*	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or Section 8 participants or both)

Resident Opportunities & Self-Sufficiency Program (ROSS) Service Coordinator Program – Adrean Matt Resident Association	589 Residents	Specific criteria	Adrean Terrace, Matt Apartments, N.D. Peters Manor	Public Housing
Resident Opportunities & Self-Sufficiency Program (ROSS) Service Coordinator Program – Gillmore Humphrey Resident Association	482 Residents	Specific criteria	Gillmore Village	Public Housing
Resident Opportunities & Self-Sufficiency Program (ROSS) Service Coordinator Program – Marino-Perretta Resident Association	149 Residents	Specific criteria	Marino-Ruggerio Apartments, Perretta Twin Towers	Public Housing
Neighborhood Networks Center, Gillmore Village/ND Peters Development – computer technology training, job training, life skills instruction	795 Residents	Other – Open Access	Gillmore Village NNC N.D. Peters NNC	City of Utica
Public Housing Family Self-Sufficiency Program – coordinated case management/escrow incentive program	66 Households	First come/First Serve – Families will be screened for interest/motivation	All Developments	Public Housing
Community Garden Youth Job Training Program	21 Residents	Waiting List	Adrean Terrace, N.D. Peters Manor, and Matt Apartments	Public Housing
Service Coordinator Grant for Aged/Disabled	93	Referrals	Chancellor Apartments	Project-based HCV/NYS Public Housing
AmeriCorps Program	1,200 persons	Other-Open Access	Utica Public Housing complexes/Oneida, Herkimer, Madison Counties	Oneida, Herkimer, Madison Counties residents
Summer Youth Employment Program	92	Specific Criteria	City of Utica residents	City of Utica residents
GED/ABE/ESL Program	60	Specific Criteria	City of Utica residents	City of Utica residents
Career Pathways for Youth Program	41	Specific Criteria	City of Utica residents	City of Utica residents

During the past year, the Community Resource Department which provides resident service programs accomplished the following goals for subsidized and other community residents:

October 1, 2018 to September 30, 2019

After-school program – Gillmore Village ____	34
After-school program – Adrean Terrace ____	45
After-school program – Humphrey Gardens ____	
Public Housing Family Self-Sufficiency Program ____	64
Community Garden Program (GV, Adrean Terrace combined) ____	20
Summer Youth Employment Program ____	92
GED/ABE/ESL Program ____	10
Career Pathways for Youth Program ____	41
Fresh Start Program ____	26
Resident Association Involvement ____ ADREAN & Gillmore not senior sites	84
Volunteers Recruited and Placed ____	39
Neighborhood Network Center computer labs	701
Received help for resume ____	131
Received Pre-employment skills training: ____	203
Placed in Employment ____	167
Placed in Training Programs ____	159
Enrolled in college ____	15
Completed college ____	4
Completed Educational Programs ____	0
Enrolled in FSS ____	64
Currently Escrowing with FSS ____	66
Completed FSS ____	23
Purchased home ____	4
Moved out of public housing due to higher income ____	16
Ended public assistance and went to work ____	27
Enrolled in GED program ____	60
Completed GED ____	20
Enrolled in ESL Classes ____	28
Referred to Health Care Services ____	265
Received Community Health Education Services ____	156
Remained in Household as a result of Services ____	
Received emergency food ____	214
Received financial literacy training ____	200

Completed financial literacy training ____	174
Helped with health insurance (Medicaid, Medicare, NYS Exchange, ACA, prescriptions) ____	96
Accessed child care ____	28
Residents assisted with income tax return (EITC/CCTC) ____	20
Number reached through Guardian Angels and Family Friends ____	895
Veterans receiving services ____	12
Vocational Training Fresh Start -Slips, trips and falls & OSHA	26
Summer Lunch program	184

AMERICORPS PROGRAM

The UMHA AmeriCorps Program is in its 7th year of implementation and has successfully met its outcomes. AmeriCorps members are a critical component in service delivery for many organizations across the U.S. The AmeriCorps Program provides dedicated individuals to help meet locally identified needs at reduced cost. The purpose of the AmeriCorps program is for the members to gain valuable work experience, while the host sites and the communities they serve benefit from the direct client services the AmeriCorps members provide. AmeriCorps members/volunteers will receive a modest living allowance, fringe benefits, an education award, health insurance, childcare, and professional development opportunities. Members help people move out of poverty and focus on community needs such as economic opportunity, poverty reduction, human services, housing, financial literacy, job development, service coordination, youth, elderly and disabled, and veteran services.

Municipal Housing Authority (UMHA) AmeriCorps program works to help people to move out of poverty through a coordinated program of support service coordination, job placement, financial literacy, housing placement, and veteran services. The AmeriCorps Program serves as a valuable opportunity to mentor individuals into the field of human services. Members who serve in the program receive extensive orientation, mentoring, and guidance in exploring the human services field as a career – and potentially working within New York communities.

In 2018, the size of the UMHA AmeriCorps doubled from 11 to 20. Of the 20, 10 full-time AmeriCorps member positions will be made available to community organizations who will help veterans (particularly those with opioid, mental health, and substance abuse issues) achieve economic and housing stability; assist youth, ex-offenders, the long-term unemployed, and other disadvantaged populations to enter the workforce; improve financial literacy of low-income residents; provide outreach and service coordination to enable low-income people to move out of poverty; and place the homeless and housing vulnerable in quality, affordable housing in the City of Utica and Oneida, Herkimer, and Madison Counties of New York State.

Instead of providing services in a fragmented fashion, our AmeriCorps program has demonstrated during the last six years the efficacy of a new model that breaks down silos and provides child and family centered services in an integrated, comprehensive system, informed by those in need. Our evidence-informed Comprehensive Community-Based Case Management Model (CCBCM) provides wrap round coordinated services that address the root causes of poverty, instead of merely responding to immediate crises. The theory of change which undergirds our program is that by devoting AmeriCorps (AC) members and community resources to comprehensive and integrated services, such as those provided by case management, barriers to long-term self-sufficiency for clients in need can be removed. Our theory of change and implementation model are a proven approach for ameliorating poverty and related issues such as persistent unemployment, homelessness, and lack of financial empowerment.

For the last six years, we have successfully met our outcome goals and intend during the next three-year cycle to continue to strengthen our efforts to fully implement the CCBCM model. Central to the model are our AC members serving as case managers, helping people in poverty to overcome barriers, establishing goals, creating action plans, and connecting to community services and resources. Case management is the organizational glue that binds our housing, employment, financial literacy, and veteran services hubs together, and provides for a coordinated and seamless system of support services for clients.

The AmeriCorps Program is currently funded by three major sources: Corporation for National Service; Utica Municipal Housing Authority, United Way of the Valley and the Greater Utica Area, Community Foundation of Herkimer and Oneida Counties, Workforce Development Board, Oneida County Workforce Development, and local agencies sponsoring AmeriCorps positions.

During 2018, the AmeriCorps Program provided financial literacy services to 174 persons. Of these, 131 demonstrated improved financial knowledge. The UMHA has implemented non-traditional ways of providing financial literacy education through social media (Face Book). The program encourages clients to take advantage of resources through the NYS Attorney General and the Consumer Financial Protection Bureau. The program coordinates its financial coaching services with the HomeOwnership Center and nonprofit consumer credit counseling services. The UMHA has established a partnership with Empower Federal Credit Union and other financial institutions to help clients access financial services and products. In partnership with the Neighborhood Center of Utica, the AmeriCorps is continuing its successful Circles Program which is a self-help support group of low-income people.

Our job readiness program deploys AmeriCorps members to help residents acquire pre-employment and search skills, identify careers and enroll in training programs, and apply for jobs. The program has established mini one-stop job centers and focuses on helping ex-offenders return to the community. In 2018, the program provided job development services to 233 persons. Of this number, 135 were placed into employment.

The program intends to provide services to formerly incarcerated persons who face substantial barriers to finding employment. The program is focusing on hard to employ persons such as those with mental illness. In order to achieve higher outcomes, the program is incorporating executive function and emotional intelligence training into its curriculum. The program sponsored a

workshop for job seekers to help them improve their job search, résumé and interview skills the Utica Public Library Outreach Center. It also focused on career development and educational, job training, and workforce opportunities, particularly for youth, disabled, formerly incarcerated and older workers. The workshop videotaped and was posted on the internet and received several hundred views.

The program continues to sponsor GED and ESL classes at its public housing resident centers. In 2017 and 2018, the UMHA received funding from the Workforce Development Board to conduct the Fresh Start Section 3 Training Program which provides construction skills training to youth ages 18-24. Some of the youth are assigned to work at the Roosevelt Residences construction sites. Since January 2018, about 24 youth have been trained by the program.

Our Housing and Information Referral Center meets a vital community need by providing one stop housing services. Clients who are homeless or need housing assistance are referred to the Housing program. AC members work with clients to find emergency shelter and permanent housing, qualify for rental assistance and subsidized housing, prevent evictions, and access other housing programs. We have developed a Rent Right Curriculum to help low-income tenants find housing and maintain their units. A total of 546 persons (family members) received services. Of this number, 219 were placed into housing, received rental assistance, or accessed substantive services.

AmeriCorps members have helped to conduct outreach and provide application assistance for the Roosevelt Residences, a new 50-unit affordable project in Cornhill. Of the 50 units, eight are designated for homeless veterans and the chronic homeless. To date, over 500 applications have been received. The first units will be available January 1. CNY Fair Housing and the UMHA conducted two "Playing Fair: Fair Housing Landlord Training" workshop sessions on August 24. The workshops covered Fair Housing laws and responsibilities, and were targeted to area landlords, property managers, realtors, housing developers, housing authorities, and anyone doing business in the housing industry. The program sponsored a workshop to educate renters about tenant rights and responsibilities on June 25 at the Utica Public Library Outreach Center. The speaker for the workshop was Melanie Goldberg, Esq. of Legal Services of Central New York. <http://www.uticaod.com/news/20180621/community-news-for-june-22-2018>.

Our Veteran Services program, which is a partnership with the national organization Soldier On, targets at-risk and homeless veterans. To date, during 2018, the program has served 39 veterans. AC members help veterans obtain housing, education, employment, food, benefits, health care, and mental health treatment. They work with the national Soldier On organization as well as the local Veteran Outreach Center to provide direct assistance to veterans to stabilize their living situations. Many of our veterans are disabled and seniors. In order to help them access services, we sponsored two workshops at the Library Outreach Center on senior/disabled services such as Medicaid and Medicare. The workshop featured two local authorities on service programs and was on FB live which reached over 400 viewers.

Major accomplishments of the program in 2018 include:

1.) In partnership with Oneida County Workforce Development, Utica Municipal Housing Authority and AmeriCorps members provide job training and supportive services for over eight low-income youth between the ages of 16-24. Our program served more Summer Youth Program participants than any other program in the county. Participants were provided with hands on work experience, financial literacy training and job readiness workshops that taught them how to create resumes. The retention rate for the program was outstanding, reaching 95%. A graduation luncheon was held at the end of the program and certifications were awarded to participants for completion and strong work ethic. 2) Two of our AmeriCorps members were invited to speak to a meeting of NYS OCFS management staff in Albany on December 10 to discuss how our program impacts New York State. The two members received citations from Sheila Poole, NYSOCFS Commissioner, for their exemplary dedication and hard work for the program. 3) A victim of Hurricane Irma, who was made homeless and her family separated, was referred to our program. Through intensive case management provided by the AmeriCorps program, she completed high school, entered college this January, finished a job training program sponsored by the Housing Authority, and volunteered to help others through our Gillmore Village Resident Center. 4) AC members assisted in the resale of a HOPE VI home to a low-income first-time homebuyer who completed pre-homeownership counseling. 5) The program helped to create a Facebook page to keep the community informed of our many events and services. We also developed a digital newsletter to inform our community partners, clients, and residents of our initiatives and programs. 6) AC members participated in our Give Back Friday event in December to provide resident gifts for the holidays. 7) The AC program sponsored a public workshop entitled, "Make Your College Dreams Come True: College, Job Training and Certificate programs for Youth and Adults." It was co-sponsored by OnPoint for College. The workshop covered the following topics: deciding upon careers, different types of college and certificate programs, the college admission process, and financial aid. AC members discussed available local job training and apprenticeship programs. 8) The program also sponsored a workshop on starting your own business. Many of our clients were formerly incarcerated and entrepreneurship might be a viable option for them to earn a living. The speakers were Dr. Pat Laino, Executive Director of the Business Training Institute Inc. and Donna Rebisz, Director of The Women's Business Center of New York State. AmeriCorps members provided information on the HUD Section 3 Business Certification as well as M/WBE Programs. 9) The AC Program participated in the MLK Day of Service. They donated 2,600 books to needy children and local agencies and libraries as well as held a pancake breakfast for housing authority youth. 10) AC members hold after-school programs that help children with homework as well as provide life skills, career readiness, and financial literacy. 11) The program sponsored a senior citizen Valentine's breakfast which offered information regarding health insurance programs. 12) A local group has made available a 3D printer for use in the after-school program so youth can learn about advanced manufacturing. 13) The program will be opening a new outreach center at Our Savior Lutheran Church in Utica on Wednesday, Thursday, and Friday evenings to reach persons unable to come to our offices during the days. 14) The program is conducting outreach to identify homeless clients at the Hope House soup kitchen, homeless shelters, and apartment complexes.

The UMHA conducts a successful outreach center at the Utica Public Library. One of our AmeriCorps workers has been offering information and referral services in the library lobby. In 2019, workshops have been offered on the following topics:

- United States Census Jobs

- First Time Homeownership training
- New Rent Law
- Landlord Outreach to encourage owners to rent to Section 8 tenants and homeless people
- Financial Literacy
- Starting a Small Business

The UMHA has use of the computer lab on the second floor. Individual and group instruction in computer and software skills as well as financial literacy and job hunting are offered.

Beginning in August, we are offering a continuing series of workshops on job search (interviewing, resumes, finding jobs,), life skills (stress relief, mental health first aid, benefit programs, opioid prevention), and financial literacy (saving, budgeting, buying used cars) on Wednesday and Thursday evenings at Our Savior Lutheran Church.

Local and state-wide agencies such as the New York State Attorney General as well as the Department of State Division of Consumer Protection will be presenting workshops. The UMHA AmeriCorps members also provided workshops at local agencies and homeless shelters such as the Neighborhood Center of Utica. AmeriCorps members are also stationed at the Hope House and other locations to help clients seek services from the UMHA.

The Utica Municipal Housing Authority and our AmeriCorps Program participate in the Utica Empire State Poverty Reduction Initiative (ESPRI). The Utica ESPRI process has been community-fueled from the start, with the ultimate goal being to remove key barriers that impact the lives of people living in poverty here. Specifically, the highest-ranked project requested by and voted on by Utica residents was one that would provide 24/7 childcare in a licensed facility. In response, United Way of the Valley & Greater Utica (UWVGU) has created an Extended Childcare Initiative as the focus area for the Utica ESPRI project. Through a series of strategic partnerships, the Initiative will also create transportation & workforce development services to support families who enroll children in the childcare center. Overall, the Initiative will empower families to achieve measurable gains in employment and/or education by providing caregivers a safe, licensed childcare option for their children while they work, complete training, or complete educational courses/certificates during non-traditional hours (i.e. at night or on weekends). Of note, this will be the first 24/7 licensed daycare facility in the State of New York.

SECTION 3 PROGRAM

The UMHA held a Section 3 job fair and recruitment campaign targeted to people of color and women for Roosevelt Residences construction jobs. 53 clients were assisted. <http://www.wktv.com/content/news/Utica-Housing-Authority-seeks-employees-for-construction-project-482734131.html>. In partnership with the New York State Homes and Community Renewal's Fair and Equitable Housing Office (FEHO), the program sponsored a Section 3 Workshop/Job/Developer/Business Fair on October 4, 2018.

The Utica Municipal Housing Authority, Norstar Development USA, and community partners also sponsored a Roosevelt Residences Construction Job Fair for Oneida County residents on May 15, 2018 at the Utica Public Library Outreach Center.

In order to meet the housing authority's Section 3 goals, the AmeriCorps Self-Sufficiency Housing Resource Center at the Utica Municipal Housing Authority and community partners sponsored a free construction career fair for City of Utica residents on August 18 and August 19, 2016 at the Mohawk Valley Community College thINCubator.

The construction fair helped local developers and contractors find persons interested in working on affordable housing and other commercial and residential projects in the community. Construction companies throughout the United States are facing a shortage of trained workers needed for both residential and commercial projects.

In addition, the fair was an effort of the Utica Municipal Housing Authority HUD Section 3 Initiative to identify residents interested in construction training, apprenticeship programs, and employment related to the Roosevelt Residences Project. Located in the Cornhill neighborhood of Utica, the Project will be located across eleven (11) scattered sites and will consist of twenty-five (25) buildings housing fifty (50) units of affordable housing. Construction has started in October 2017.

The fair is a collaborative effort of the Housing Authority, City of Utica, Norstar Development USA, Oneida County Workforce Development, Workforce Development Board, Mohawk Valley Community College, Central New York Labor Council, Mohawk Valley Community Action Agency, BOCES Consortium of Continuing Education, Rescue Mission of Utica, and other partners to connect residents interested in construction employment with local training programs and employers. Local construction training programs are offered at Mohawk Valley Community College, BOCES Consortium of Continuing Education, Workforce Development Board, local unions, and the Rescue Mission of Utica Skills for Success program.

In April 2016, the UMHA participated in an M/WBE expo at Herkimer County Community College to make firms aware of procurement opportunities available through the housing authority, particularly the Roosevelt Residences project.

Johnson Controls, the UMHA energy performance contractor, hired a public housing resident to act as a liaison between the company, residents, and contractors. Through this initiative, residents also received training in energy conservation to reduce utility costs.

The UMHA intends to strengthen its Section 3 programs through the following ways:

- Develop mini-one stop centers at its developments and the Utica Public Library to help connect residents with jobs;
- Increase contact with local employers to increase hiring of Section 3 residents;

- Develop a Section 3 listing of residents to provide to firms and businesses needing to meet Section 3 goals;
- Operate the Fresh Start Section 3 Program that trains youth ages 18-24 in construction skills as part of the Roosevelt Residences construction project;
- Enroll eligible AmeriCorps members as Section 3 participants and new hires;
- Hire Section 3 residents through the UMHA’s AmeriCorps program;
- Coordinate its Section 3 program with the City of Utica.

RESIDENT SERVICE PROGRAMS

DANIEL DANIELS, JR. MEMORIAL SCHOLARSHIP AWARD In 2015, the UMHA established the Daniel Daniels, Jr. Memorial Scholarship Award to reward high school seniors living in affordable housing for their successful completion of high school. The scholarship was created to honor the memory of Daniel Daniels, Jr., who worked at the housing authority for more than 30 years in its Modernization Department. Providing laptops to seniors will help to ensure their success in all walks of life. The UMHA also helps to provide to the graduating seniors assistance in completing college through the OnPoint for College Program.

FSS PROGRAM The UMHA has a Public Housing Family Self Sufficiency program (FSS) which serves about 85 public housing households each year. The program promotes economic self-sufficiency among participating families by referring them to educational, career counseling, money management, job training as well as job placement services. Participants receive a savings account which grows as the family’s earned income increases. Upon completion of the five-year FSS Contract of Participation, the family receives the money accumulated in the account, provided that the participant is employed and no family member has received cash public assistance in the preceding twelve months. In 2017, the UMHA revised its Family Self-Sufficiency Action Plan. The program has been renewed each year and is currently funded in the amount of \$69,380.

ROSS SERVICE COORDINATOR GRANTS In 2012, the UMHA three resident associations – Marinto-Perretta, Gillmore-Humphrey, and Adrean-Matt - received funding for three year ROSS Service Coordinator Grants. In 2015, funding for renewed for each resident association for another three year period. This program works to promote the development of local strategies to coordinate the use of assistance under the Public Housing program with public and private resources, for supportive services and resident empowerment activities. These services enable participating families to increase earned income, reduce or eliminate the need for welfare assistance, make progress toward achieving economic independence and housing self-sufficiency, or, in the case of elderly or disabled residents, help improve living conditions and enable residents to age-in-place. The resident associations subcontract with the housing authority to provide service coordination

activities to residents. The Contract Administrator for the grants is the Utica Center for Development, Inc. (the Central New York Veterans Outreach Center). In 2019, the UMHA the Gillmore-Humphrey, and Adrean-Matt Resident Associations were approved for ROSS grant renewals in the amount of \$239,250 each. In 2019, the UMHA applied for funding for a new grant to serve residents of the Perretta Twin Towers and Marino-Ruggiero Apartments.

CHANCELLOR SERVICE COORDINATOR PROGRAM The HUD Project-Based Section 8 Service Coordinator Program provides funding for the employment of Service Coordinator the UMHA’s Chancellor Apartment, which is a HUD insured and assisted apartment housing that is designed for the elderly and persons with disabilities. A service coordinator assures that elderly residents, especially those who are frail or at risk, and those non-elderly residents with disabilities are linked to the specific supportive services they need to continue living independently in that housing development. The grant was funded in 2012 and was renewed for 2019.

TENANT RETENTION PROGRAM The Community Resource Department has worked collaboratively with the UMHA Asset Managers to assist residents to comply with their lease and continue to live in public housing. Asset managers and Tenant Relations staff provide the Community Resource Department with service referrals on a regular basis including eviction prevention services. Agencies such as Mohawk Valley Community Action, Clear Point Credit Counseling, Empower Federal Credit Union, and Cornell Cooperative Extension have collaborated with UMHA to provide emergency rental assistance as well as budget counseling programs that help break the cycle of delinquency. Targeted to residents who experienced difficulties in paying their rent, the program has served 201 residents and referred an additional 30 to rental assistance programs.

FAMILY FRIENDS PROGRAM AmeriCorps members also established a program called “Family Friends.” Targeted to the UMHA’s multi-family developments, the program is a proactive approach to providing case management and referral services to families in need. Many residents are hesitant to visit the office when they are experiencing problems and by providing outreach and making home visits, residents feel more comfortable discussing problems and needs and AmeriCorps members are able to link them with services.

GUARDIAN ANGELS PROGRAM Guardian Angels Program provides outreach and services for seniors and disabled residents with the goal to helping them to live independently longer and enhance their quality of life. Members of the UMHA AmeriCorps team together with a resident peer member to conduct door-to-door visits with seniors and disabled residents. Home visits and personal assessment provide the information needed to link and refer residents to the services vital to their health and welfare.

FINANCIAL LITERACY PROGRAM. The UMHA financial literacy programs provide information on how to save and invest wisely, understand personal credit, build wealth, and avoid excessive debt. To this end, we have partnered with financial institutions such as the Empower Federal Credit Union to create and expand a curriculum that empowers consumers of all ages to attain financial literacy. We offer instruction including:

- ✓ Introduction to financial services,

- ✓ Basic banking,
- ✓ Money management and investing,
- ✓ Establishing, maintaining and repairing credit,
- ✓ Goal setting, budgeting and financial planning,
- ✓ Understanding and avoiding predatory and subprime lending,
- ✓ Becoming a homeowner and preserving homeownership.

JOB READINESS SERVICES. In partnership with local business, we help to connect residents with job training and employment opportunities. We offer career advisement, aptitude testing, resume preparation, job readiness training, and placement assistance. Starting in autumn 2016, through funded provided by the Workforce Development, the UMHA will be helping 50 youth to obtain short-term work experience and educational training opportunities. This program will be targeted to Limited English Proficient, refugee, and disconnected youth.

HEALTH SCREENINGS As part of our Resident Opportunities and Self-Sufficiency Programs, the Community Resource Department has initiated a series of health fairs and screenings at our senior/disabled housing sites. Diabetes and blood pressure screenings are held on a routine basis. Flu shots clinics are also offered.

SUMMER AND AFTER-SCHOOL PROGRAMS The UMHA Community Resource Department has expanded youth education and tutoring programs at its family sites to include weekends and non-traditional hours. Thirty to forty children per day attend after-school programs and over fifty attend Saturday programs. Programs include homework help, career exploration, mentoring, and educational field trips.

During the summer, through a partnership with Mohawk Valley Community Action, full day youth camps were provided at our Adrean Terrace family development. Children from other developments were provided with transportation to and from the programs. The program included crafts, education, sports, and field trips. Through a collaboration with Catholic Charities, Rotary, Mohawk Valley Community Action, and the City of Utica School District, breakfast and lunch programs were provided at the family sites.

SUMMER LUNCH PROGRAM The Utica City School District was unable to offer the Summer Lunch program at non-school sites, including our Adrean Terrace site, due to its Central Kitchen reconstruction project. In response to this challenge, the UMHA held discussions with New York State Education Department, local school districts, the United Way, and the state-wide nonprofit organization Hunger Solutions to find a new provider. BOCES agreed to provide lunches for children living in the Adrean Terrace AMP. In addition, the UMHA through its own funding and support of the United Way expanded the lunch program to Gillmore Village and Humphrey Gardens. We also offered a breakfast program at our sites.

SUMMER YOUTH EMPLOYMENT PROGRAM The Herkimer-Madison-Oneida Consortium (Workforce Development Board) provides funding on an annual basis for the UMHA Youth Work Skills Program to provide a paid, five-week work and enrichment experience during this summer. Consisting of work-based learning, hands-on training, employability skills instruction, financial literacy, entrepreneurship, leadership development, and work experience, the

program enrolls 25 public housing youth each year. The UMHA has received funding for 2014, 2015, 2016, 2017, and 2018.

ESL/GED CLASSES Through a partnership with BOCES, GED classes are being held at the Gillmore Village.

CITIZENSHIP PROGRAM. The UMHA helps its permanent residents prepare and apply for U.S. citizenship through one-to-one counseling and educational sessions.

CASE MANAGEMENT SERVICES Case management services are intended to help ensure housing stability and to maximize each tenant's ability to live independently and become self-sufficient. The case manager does not provide every service a tenant needs but helps broker relationships between the tenant and the service providers. Case management can include new tenant orientation, assistance with accessing childcare, community building activities and transportation to help the tenant access services in the community. Through a partnership with the New York State Commission for the Blind and Visually Impaired, the UMHA has had the benefit of having a MSW, Family Counselor on staff as an AmeriCorps member. The counselor works twenty to twenty-five hours per week working with families that require help through referrals and group workshops. Case management services are also provided through our AmeriCorps program and ROSS grants.

NEIGHBORHOOD NETWORK CENTERS Neighborhood Networks centers provide access to computers, computer training and the Internet. Neighborhood Networks centers also provide a wide range of services to help residents achieve long-term economic self-sufficiency. The UMHA Neighborhood Network Centers are staffed by qualified AmeriCorps members and volunteers. The centers offers employment services for older youth and adults as well as after-school programs for children. Children are provided with homework help, school project research and participate in educational games and activities. The Neighborhood Network Centers are in the process of becoming mini-one stop centers which will offer comprehensive employment and job readiness services to community and public housing residents. Hours will be flexible and services will be available in the evenings.

HEAD START SERVICES Head Start services are offered at our Adrean-Terrace, N.D. Peters Manor and F.X. Matt Apartments development.

COMMUNITY GARDENS. The UMHA currently sponsors two community gardens – two at the Adrean Terrace AMP, and one at the Gillmore Village development.

MEALS AND FOOD DISTRIBUTION Through the Oneida County Office for the Aging, the UMHA offers a reduced price lunch for senior and disabled residents at its Perretta Twin Towers. A local church offers free bread distribution to residents. The housing authority offers free breakfast and lunch programs during the summer to its youth residents. The UMHA AmeriCorps members are placed at the Food Bank which emergency food. The Central New York Food Bank has also donated food for the residents of our family developments. The Compassion Coalition provided free food for UMHA residents through pop up markets at our various developments.

HUMPHREY GARDENS RESIDENT CENTER The UMHA established a new resident service center as part of the Humphrey Gardens Expansion Project. The resident service center includes a computer-learning center and community room.

THE YOUTH GARDEN-TO-TABLE INITIATIVE is an innovative, collaborative youth employment project that provides opportunity youth with the hands-on job training and entrepreneurial experience in operating community gardens at public housing sites, as well as providing access of low-income people to affordable, fresh fruits and vegetables. Through this program, low-income youth not only gained access to, and increased awareness and knowledge of fresh seasonal produce, but will be introduced to careers in sustainable agriculture and urban farming. This program represents a collaboration among the Utica Municipal Housing Authority, Oneida County Workforce Development, and the Unitarian Universalist Church as well as other community partners. The program utilizes permaculture principles and has retained a national expert on permaculture - Cimbria Badenhausen - to implement the program. Our partner for the project – the Unitarian-Universalist Church - has donated training supplies for the program

CENTRAL NEW YORK COMMUNITY SOLUTIONS, INC. In 2015, the UMHA created a new not for profit corporation – Central New York Community Solutions, Inc. – to enable the housing authority to diversify and leverage new funding sources. As a public entity, the UMHA is unable to apply for funding from corporations, foundations, and certain government programs which require the applicant to be a tax exempt private not for profit corporation. The UMHA will use this corporation to maintain and expand resident service programs. CNYCS received its first grant from the First Niagara Foundation in the amount of \$5,000 to support resident service programs. In 2017, the CNYCS secured a grant of \$53,199 from the NYS Office of Temporary and Disability Assistance to provide case management services to residents of the Roosevelt Residences who are occupying homeless designated units.

RESIDENT SELF-SUFFICIENCY PROGRAM GOALS

Based upon consultation with residents, staff, and Board of Commissioner members, the UMHA plans to accomplish the following goals during the next five years to enhance its self-sufficiency services for residents:

1. Seek funding to establish new educational, adult literacy, and job training programs to help our residents become self-sufficient.
2. Enter into partnerships and cooperative agreements with local educational institution such as Mohawk Valley Community College to jointly offer site-based resident construction and job training services.
3. Continue to participate in the Mohawk Valley Literacy Coalition to coordinate services for its residents.
4. Continue to implement Section 3 programs to ensure that HUD funds are used to maximize job training and employment opportunities for low-income residents.
5. Seek to collaborate with local workforce and economic development organizations to assist residents to take advantage of employment and contracting opportunities through HUD

- funded programs. (The UMHA may consider forming linkages with apprenticeship programs to help residents enter union-based job training programs.)
6. Continue to apply for the Jobs Plus Grant Program. (This important demonstration project will help public housing residents achieve economic stability through work readiness, job placement assistance, vocational training, employer linkages, community networking, group supports, supportive services, and financial rent incentives.)
 7. Seek to establish a free clothing exchange to ensure that residents have professional attire for job interviews
 8. Endeavor to create a small emergency on-site food pantry to help residents quickly to meet their food needs until agencies are contacted.
 9. Make available personal hygiene products to residents through corporate and faith-based donations.
 10. Continue to work with local agencies and develop through its own forces on-site medical screening/services.
 11. Garner funding to purchase and maintain an accessible bus and van to provide resident transportation to grocery stores, community events, and meetings.
 12. Create additional platforms (e.g., Facebook, Twitter, texting services, public access TV, kiosks at family developments, newsletters) to communicate information regarding housing authority programs and services as well as community events and programs to residents.
 13. Strengthen resident education programs at time of admission to educate residents about available services, conduct needs assessments, and increase awareness of tenant rights and responsibilities.
 14. Create small retail stores at its various developments to provide needed foodstuffs and household items to residents with limited transportation options.
 15. Advocate with public transit agencies and grocery stores to increase grocery buses and greater access of transit routes.
 16. Explore a car-sharing program to help residents obtain employment in outlying areas.

VIOLENCE AGAINST WOMEN ACT (VAWA)

On November 16, 2016, the U.S. Department of Housing and Urban Development published a new rule to protect the housing of survivors of domestic and dating violence, sexual assault, and stalking. Under the final rule, PHAs and owners were required to develop emergency transfer plans for effect by June 14, 2017. The UMHA will develop an emergency transfer plans and submit it to HUD for review.

The VAWA final rule includes:

- Continuation of the core protections – The rule codifies the core protection across HUD’s covered programs ensuring survivors are not denied assistance as an applicant, or evicted or have assistance terminated due to having been a victim of domestic violence, dating violence, sexual assault, and stalking, or for being affiliated with a victim.

- Emergency transfers – One of the key elements of VAWA’s housing protections are emergency transfers which allows for survivors to move to another safe and available unit if they fear for their

life and safety. VAWA required HUD to adopt a model emergency transfer plan for housing providers and to explain how housing providers must address their tenants' requests for emergency transfers.

HUD's model emergency transfer plan:

- » allows a survivor to self-certify their need for an emergency transfer, ensuring documentation is not a barrier to protecting their immediate safety;
- » allows the survivor to determine what is a safe unit for purposes of the transfer, ensuring that the survivor has control over their own safety planning;
- » requires housing providers to allow for a resident to move immediately if there is another safe and available unit that does not require the survivor to undergo an application process as a new tenant, ensuring quicker access to safe housing;
- » requires housing providers to explain the efforts they will take when there is not a safe and available unit available for an emergency transfer and encourages housing providers to partner with victim services and advocates and other housing providers to assist a survivor; and,
- » requires housing providers to document requests for emergency transfers, including the outcome of the request, and to report annually to HUD.

- Protections against the adverse effects of abuse – Domestic violence can often have negative economic and criminal consequences on a survivor. The perpetrator may take out credit cards in a survivor's name, ruining their credit history, or causing damage to survivor's property causing eviction and poor rental history. The perpetrator may force a survivor to participate in criminal activity or a survivor may be arrested as part of policies that require arresting of both parties in a domestic disturbance. The final rule ensures that covered housing providers do not deny tenancy or occupancy rights based solely on these adverse factors that are a direct result of being a survivor.

- Low-barrier certification process – The final rule makes it clear that under most circumstances, a survivor need only to self-certify in order to exercise their rights under VAWA, ensuring third party documentation does not cause a barrier for or to a survivor expressing their rights and in receiving the protections needed to keep themselves safe.

Beginning on December 16, 2017, owners/agents must provide the Notification of Occupancy Rights and Certification forms to applicants when assistance is being denied or at the time the new household moves into the property. The forms do not have to be provided to every applicant on a property's waiting list.

UMHA adheres to the federal Violence Against Women Act ("VAWA") by providing protections to victims of domestic violence, dating violence, sexual assault, and stalking (VAWA victims). In accordance with VAWA, UMHA (i) notifies public housing tenants and Section 8 participants of their rights under VAWA; (ii) protects eligible tenants and authorized household members from eviction or termination of Section 8 assistance based on their status as a VAWA victim; (iii) may terminate public housing tenancy or occupancy rights or Section 8 assistance to an abuser while protecting the rights of the VAWA victim and other authorized household members; (iv) protects eligible applicants from being denied admission based on their status as VAWA victims; (v) affords eligible VAWA victims a transfer under its Public Housing and Section 8 emergency transfer plans; and (vi) links tenants to resources on safety planning, aftercare

services, and alternative housing options. Additionally, UMHA provides a transfer priority for intimidated victims, intimidated witnesses and victims of a traumatic incident as well as an admission preference for eligible victims of domestic violence and intimidated witnesses.

The UMHA will continue with its efforts to be responsive to the needs of victims of domestic violence (VDV) applying for or residing in public housing while balancing the need to manage the availability of a scarce housing resource. In addition, our Community Resource Department and property management staff will continue to refer child and adult victims of domestic violence, dating violence, sexual assault, or stalking to the following agencies:

- ❖ YWCA Rape Crisis and Domestic Violence Services;
- ❖ Child Advocacy Center;
- ❖ Utica Police Department.

The UMHA will undertake the following activities to help victims of domestic violence to access or maintain housing through our public housing and Section 8 programs:

- (1) That an applicant or participant is or has been a victim of domestic violence, dating violence, or stalking is not an appropriate basis for denial of program assistance or for denial of admission, if the applicant otherwise qualifies for assistance or admission.
- (2) An incident or incidents of actual or threatened domestic violence, dating violence, or stalking will not be construed as a serious or repeated violation of the lease by the victim or threatened victim of that violence and shall not be good cause for terminating the assistance, tenancy, or occupancy rights of the victim of such violence.
- (3) Criminal activity directly relating to domestic violence, dating violence, or stalking, engaged in by a member of a tenant's household or any guest or other person under the tenant's control shall not be cause for termination of assistance, tenancy, or occupancy rights if the tenant or an immediate member of the tenant's family is the victim or threatened victim of that domestic violence, dating violence, or stalking.
- (4) Section 8 voucher tenants may use voucher portability between jurisdictions to escape an imminent threat of further violence from domestic violence, dating violence, or stalking.

The UMHA Community Resource Department will continue to implement the following activities to prevent domestic violence, dating violence, sexual assault, and stalking or to enhance victim safety in assisted families:

- (1) Conduct educational outreach to resident informing them of domestic violence prevention, education, and service resources;
- (2) Refer residents needing domestic violence and victim safety services to community agencies.

Beginning in December 2018, the UMHA will include a new preference for survivors of domestic violence in our Housing Choice Voucher Administrative Plan. This will assist local agencies to place clients as quickly as possible in safe housing.

SECTION i.

SAFETY AND CRIME PREVENTION

The UMHA is committed to promoting a safe environment for its residents and the community. As such, it has continued to invest resources in proven crime prevention strategies. In 2019, new cameras were installed in UMHA properties.

The UMHA currently provides security patrol services as well as resident supportive services to assist in the prevention and control of crime in our properties. Funding for these programs is provided by rental income, operating subsidy, and ROSS grants.

The UMHA furnishes security patrols of its developments as part of its authority-wide public safety department. Patrols are conducted on a daily basis and hours have been extended into the late evening and early morning to ensure adequate coverage. The department employs two full time and six part-time staff.

UMHA provides added security to its residents over and above the police protection provided by the City of Utica Police Department. The UMHA employs guards with appropriate experience and qualifications to provide security. The security officers patrol all of our public housing developments as well as senior and disabled buildings. The UMHA provides vehicles, uniforms, and radios to the security officers. The security officers provide the UMHA with daily reports of their activities as well as daily police reports.

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

The UMHA installed the following capital improvements in the Chancellor Apartments using grant funds: 1) A new emergency call system to replace the older inoperative system in the building. (The new system, consisting of lights, horn, and relay to the 911 system, will help elderly and disabled system to alert fire, medical, and police authorities of emergency situations.) 2) Eight security cameras to enhance the existing surveillance monitoring system in the development and address existing weaknesses in the coverage area; 3) LED lights on poles for front and side entrances to improve visibility of building perimeter, thus removing inducements for crime opportunity. (Exterior lighting has been determined to be one of the most effective methods for discouraging criminal activity in subsidized multi-unit buildings.) 4) A gas powered emergency generator to provide power to the building during emergencies and provide a central meeting location for housing authority residents in the event of a long-term power outage situation. 5) A key fob system in the laundry room to limit access to the building and remove inducements for crime opportunity. 6) Security screening in the balconies located in the upper floors of the atrium (community room). 7) Phone receivers in elevators to help elderly and disabled residents to dispatch emergency assistance in the event of criminal activity, elevator malfunction, or an emergency.

The UMHA will continue to apply for funding to help underwrite safety and crime prevention programs and install much needed security improvements such as new surveillance cameras, lobby doors and locks, and exterior lighting. The UMHA management will continue to collaborate with the Utica Police Department to coordinate patrols and law enforcement activities targeted to its housing developments. In addition, the Utica Police Department is expected to provide crime prevention education services to the residents. A series of workshops may be provided to residents to learn neighborhood watch and reporting techniques which will assist the police to prevent criminal activity on the premises.

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. The UMHA will continue to apply to the HUD Emergency Safety and Security Grants to fund capital improvement such as cameras to enhance resident safety prevent crime. Resident associations will work with neighborhood groups to coordinate watch efforts. Representatives of the Utica Police Department Community Relations Unit will be asked to participate in Resident Association meetings. Residents have requested at Annual Plan roundtable meetings for the housing authority to provide fire safety training, increase visibility of the UMHA security forces, control access to developments, vary patrol schedules and routes, institute community-policing interventions (e.g., walking the beat), and increased security at entrances. A major priority will be to continue and expand the housing authority’s commitment to ensure the safety and well-being of our residents. The UMHA Security Department will explore the feasibility of increasing its visibility and interaction with the tenant population to enhance resident engagement and enforce public housing rules.

SECTION j. PET POLICY

As part of its ACOP revisions, the UMHA revised its Pet Policy in reference to its LIPH units. The amended Pet Policy is designed to protect pet owners and non-pet owners and ensure that animals receive responsible care. The changes also reflect Notice FHEO 2013-01 which was published April 25, 2013. The notice explains the difference between service animals and assistance animals. While the ADA applies to the premises of public housing agencies and to “public accommodations” such as stores and movie theaters, it does not apply to private-market rental housing. Therefore, in public housing the PHA must evaluate a request for a service animal under both the ADA and the Fair Housing Act. Service animals are limited to trained dogs. Neither service animals nor assistance animals are pets, and thus, are not subject to the PHA’s pet policies [24 CFR 5.303; 960.705; Notice FHEO 2013-01].

SECTION k. ASSET MANAGEMENT

Based upon the Public Housing Operating Fund Rule 24 CFR 990, the UMHA has successfully implemented the conversion of its public housing inventory to asset management. Asset management includes five core elements;

- ✓ Project-Based Funding,
- ✓ Project-Based Budgeting,
- ✓ Project-Based Accounting,
- ✓ Project-Based Management,
- ✓ Project-Based Oversight and Performance Assessment.

The following changes were made to our operations and organizational structure to ensure compliance with asset management initiative of HUD:

- ✓ All properties were organized into Asset Management Projects (AMP).
- ✓ Maintenance staff was assigned to specific AMPs.
- ✓ Project-based accounting and budgeting procedures have been implemented including separate income/expense ledgers have been created for each AMP.
- ✓ The central warehouse has been discontinued; instead, storage facilities have been established at each AMP
- ✓ Materials inventory have been moved from UMHA's central warehouse to individual warehouses at each site.
- ✓ Property reports, including budget-to-actual operating statements, are produced identifying key performance indicators.
- ✓ Periodic reviews of site-based financial performance are provided at both the staff and Board levels.

Asset management has enabled the UMHA to fully use each property to its full potential to achieve our mission of providing affordable housing while helping residents attain self-sufficiency.

The asset management approach has highlighted many areas where federal requirements limit the UMHA's ability to operate efficiently and serve the community effectively. The UMHA will explore the feasibility of participating in the Moving to Work (MTW) demonstration program developed by the U.S. Department of Housing and Urban Development (HUD). This program would permit the UMHA to test innovative methods to improve housing delivery to better meet local needs. In the MTW program housing authorities may propose and implement alternatives to national regulations to improve organizational efficiency and customer responsiveness.

The following are the Asset Management Project numbers for the UMHA's public housing properties:

AMP	AMP NUMBER	Unit Number
Adrean Terrace, N.D. Peters Manor and F.X. Matts Apartments	NY006000001	358
Steuben Village	NY006000002	25
Humphrey Gardens, Humphrey Gardens Extension, Gillmore Village, 819 Hamilton Street Apartments and Duplexes	NY006000003	331
Perretta Twin Towers and Marino Ruggiero Apartments	NY006000004	158
Rutger Manor	NY006000013	21
Total Low Income Public Housing Units		893

SECTION TWELVE SUBSTANTIAL DEVIATION

Pursuant to the *Quality Housing and Work Responsibility Act of 1998, Section 511, (g)*, a significant amendment or modification to the Annual Plan may not be adopted, other than at a duly called meeting of the governing board of the public housing agency that is open to the public after a 45 day public notice; and be implemented, until notification of the amendment or modification is provided to the Secretary of the Department of Housing and Urban Development (HUD) and approved. Amendments or modifications, with are **not** defined as being significant and **will not** be subject to a public meeting with a 45 day public notice and notification to the Secretary of HUD will be the following amendments or modifications:

1. the transfer of work projects, from one grant year to another in the Capital Fund Program (fungibility), which are included in the approved Capital Fund Program 5-Year Action Plan;
2. the transfer of funds in the Capital Fund Program from one-line item to another within the same grant year budget;
3. additional work projects funded by the Capital Fund Program not included in the 5-Year Action Plan, which have been deemed to be emergencies;
4. policy changes resulting for HUD or other federal agency mandates, regulations, or directives;
5. submission of grant applications for new housing development projects, resident service programs, or other activities;
6. any changes in the Section 8 Administrative Plan, lease documents, flat rent/maintenance fee schedule, resident admission preferences, waiting list organization, property management and organizational policies, or Public Housing Admissions and Continued Occupancy Policy;
7. amendments to CFP, ARRA, and RHF budgets;
8. development of new programs and services so long as these activities are consistent with the mission of the UMHA;
9. development of new housing projects and programs so long as these activities are consistent with the mission of the UMHA;
10. programs funded under the American Recovery & Reinvestment Act including but not limited to CFP, LIPH, Housing Choice, HOPE VI, Choice Neighborhoods, RHF and other HUD grants;

11. a change in federal law takes effect and, in the opinion of UMHA, it creates substantial obligations or administrative burdens beyond the programs then under administration;
12. changes made necessary due to insufficient revenue, funding or appropriations, funding reallocations resulting from modifications made to the annual or five-year capital plan or due to the terms of a judicial decree;
13. The decision to convert to either Project Based Rental Assistance or Project Based Voucher Assistance for a RAD conversion project;
14. Changes to the Capital Fund Budget produced as a result of each approved RAD Conversion, regardless of whether the proposed conversion will include use of additional Capital Funds;
- 15 Changes to the construction and rehabilitation plan and budgets for each approved RAD conversion;
16. Submission of funding proposal for debt, equity and other types of financing for RAD projects;
17. Changes to the Capital Fund budget produced as a result of each approved RAD conversion regardless of whether the proposed conversion will include use of additional Capital Funds;
18. Decisions or changes related to the ownership and/or financing structures for each approved RAD conversion including decisions to allocate PHA financial resources as a source of funds to support the RAD conversion initiatives;
19. Changes to the construction and rehabilitation plans and schedules for each approved RAD conversion;
20. Changes to the project names or sponsor entity names;
21. Changes in the post-conversion bedroom size distribution and/or the number of de minimis unit reductions up to the 5% permitted under RAD program rules;
22. Changes to the pre-conversion bedroom size distribution and/or the project or AMP from which transfer of assistance units will be converted;
23. Changes to the financing structure for each approved RAD conversion.

Currently, there is no memorandum of agreement with HUD or any plan to improve performance.

SECTION THIRTEEN SIGNIFICANT AMENDMENT/MODIFICATION

The UMHA will amend its Public Housing Agency Plan and/or Capital Fund Program Five-Year Action Plan upon the following conditions which occur during the duration of the approved plan(s):

:

1. A change in federal law takes effect and, in the opinion of the UMHA, it creates substantial obligations or administrative burdens beyond the programs then under administration, excluding changes made necessary due to insufficient revenue, funding or appropriations, funding reallocations resulting from modifications made to the annual or five-year capital plan or due to the terms of a judicial decree.
2. Any proposed demolition, disposition, homeownership, Capital Fund financing, development or mixed-finance proposals involving public housing units which are determined to require a substantial deviation.

3. Any other event that the Authority determines to be a significant amendment or modification of an approved annual plan and/or Capital Fund Program Five-Year Action Plan.
4. For purposes of any Rental Assistance Demonstration (“RAD”) project, a proposed conversion of public housing units to Project Based Rental Assistance or Project Based Voucher Assistance that has not been included in an Annual Plan shall be considered a substantial deviation

B. 2 DESCRIBE NEW ACTIVITIES

SECTION a. HOPE VI OR CHOICE NEIGHBORHOODS - YES

The UMHA intends to apply for a Choice Neighborhoods Planning as well as implementation grant subject to eligibility determination.

A. HOPE VI, Mixed Finance Modernization or Development, Public Housing Development and Replacement Activities (Non-Capital Fund)

- Yes No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
- b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name: **Washington Courts**
2. Development (project) number: **NY-06-URD-006-I102**
3. Status of grant: (select the statement that best describes the current status)
 - Revitalization Plan under development
 - Revitalization Plan submitted, pending approval
 - Revitalization Plan approved
 - Activities pursuant to an approved Revitalization Plan underway

NOTE: The Washington Courts HOPE VI grant has been closed out. However, activities pursuant to the grant agreement have continued to be implemented to meet community development goals. The UMHA is currently implementing the following monitoring and compliance activities in connection with the HOPE VI project: foreclosure prevention, annual homeowner and rental monitoring, rental integrity reviews, resale of units which are still under the compliance period, and long-term unit monitoring. The UMHA is providing ACC contract administration with respect to the Steuben Village and Rutger Manor housing developments which are managed by Housing Visions. These units will be part of the RAD portfolio conversion.

Yes No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?

If yes, list development name/s below: **The UMHA reserves the right to apply for HOPE VI Revitalization and Choice Neighborhood grants in subsequent fiscal years in connection with the following developments:**

**Adrean Terrace
N.D. Peters Manor
F.X. Matt Apartments
Gillmore Village
Humphrey Gardens**

Yes No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?

If yes, list developments or activities below:

- **Development of new mixed finance rental housing;**
- **Application to the Rental Assistance Demonstration Program;**
- **Application of mixed finance applications for LIPH units;**
- **Completion of 50 affordable housing units through the Roosevelt Residences Project (does not involve PHA funds or ACC units; Project-Based vouchers have been awarded from UMHA HCV Program);**
- **Possible purchase of existing rental housing properties;**
- **Other projects as identified.**

Yes No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?

If yes, list developments or activities below:

The UMHA plans to utilize its existing ACC units in future mixed finance and RAD conversions.

REPLACEMENT FACTOR FUNDING

The UMHA received Replacement Housing Factor funding for the years between 2008 and 2014. The housing authority used its HOPE VI Program Income to supplement the RHF funds. In order to meet local housing needs, the housing authority used these funds to develop new public housing rental units at the following locations:

- Construction of two new buildings consisting of a total of 12 public housing apartment units with a resident center on the grounds of the existing Humphrey Gardens development in Utica;
- Renovation of a vacant building into five new accessible one-bedroom public housing units at F.X. Matt Apartments.

All RHF funds have been fully expended. The UMHA is no longer eligible to receive these funds.

SECTION b.

MIXED FINANCE MODERNIZATION OR DEVELOPMENT - YES

Within the past five years, the UMHA completed the development of the following major modernization and development projects utilizing public housing funding:

- ✓ Development of five units in an existing building at F.X. Matt Apartments;
- ✓ New construction of two building at Humphrey Gardens which resulted in 12 residential units and a community center.

The UMHA intends to engage in mixed-finance modernization and development activities for public housing in FY 2019 to include the following projects:

- Rehabilitation of entire portfolio into a mixed finance, mixed income development using Low Income Tax Credits, NYS funding, RAD conversions, and/or other financing sources;
- Development of new mixed finance rental housing;
- Application to the Rental Assistance Demonstration Program;
- Application to become a MTW agency to ensure funding and regulatory flexibility;
- Construction of 50 affordable housing units through the Roosevelt Residences Project (does not involve PHA funds or ACC units; 25 Project-Based vouchers have been awarded from UMHA HCV Program)
- Possible purchase of existing rental housing properties, particularly Section 8 Project-Based projects;
- Ownership, development, sponsorship, and property management of mixed finance and other affordable rental projects.

- Other projects as identified.

The UMHA reserves the right to utilize all of its unused ACC subsidies pursuant to the Faircloth Amendment.

The UMHA will partner with the Oneida Housing Authority on various projects including the renovation of a former elementary school into affordable housing. It may also use its bonding authority under New York State law to finance various affordable housing development projects. Since the UMHA is not restricted to any particular jurisdiction, it reserves the right to develop, manage, and own projects in other New York State communities.

**SECTION c.
DEMOLITION AND/OR DISPOSITION – YES**

The UMHA may conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in FY 2017.

Demolition and Disposition

1. Yes No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

The UMHA is planning to conduct extensive rehabilitation of its entire portfolio using RAD conversions and/or mixed finance. The UMHA may demolish and dispose parts of various AMPS or combine buildings of various AMPS together.

**SECTION d.
DESIGNATED HOUSING FOR ELDERLY
AND/OR DISABLED FAMILIES. - YES**

The UMHA currently operates one Asset Management Project - Perretta Twin Towers and Marino Ruggiero Apartments – which is designated as housing for the elderly and disabled. It also owns and manages the Chancellor Apartments, which is a New York State Public Housing Project-Based Section 8 development for the elderly and disabled.

The UMHA will examine the feasibility of developing new housing units specifically designated for the elderly and disabled. It will also determine whether there is a need as well as financing resources to develop assisted living in its LIPH senior/disabled buildings and other sites.

SECTION e.
CONVERSION OF PUBLIC HOUSING TO
TENANT-BASED ASSISTANCE - YES

None of the UMHA's developments or portions of developments been identified by HUD or the UMHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act. The UMHA is planning to convert its entire inventory of its ACC unit inventory into Project-Based rental assistance through the Rental Assistance Demonstration Program. The UMHA will also use some of its Section 8 vouchers as project-based subsidies for new housing development projects such as the Roosevelt Residences Project.

SECTION f.
CONVERSION OF PUBLIC HOUSING TO PROJECT-BASED
ASSISTANCE UNDER RAD - YES

In 2012, Congress enacted the Rental Assistance Demonstration (RAD) to preserve and improve public housing buildings. RAD is the voluntary, permanent conversion of public housing to the Section 8 housing program. Unlike the public housing program, the Section 8 housing program allows for more funding flexibility, including the use of other funding sources like tax credits in addition to public funds, to maintain and improve existing public housing buildings. RAD also guarantees strong tenant protections that tenants had under the public housing program.

On September 18, 2019, the UMHA Board of Commissioners authorized the submission of several applications to HUD under the RAD program. The Board's approval came after a series of public and resident meetings were held to inform existing residents about the RAD program and their rights under a proposed RAD conversion. The UMHA has applied to HUD to convert all its public housing units to RAD using Project-Based Rental Assistance.

The UMHA intends to convert the RAD units to the Project-Based Rental Assistance program. As part of the conversion initiative, UMHA will adopt all required RAD PBRA rules and will develop Tenant Selection Plans as needed to incorporate those rules related to resident rights, resident participation, waiting list, lease, waiting list, grievance processes and other areas.

RAD was designed by HUD to assist in addressing the capital needs of public housing by providing UMHA with access to private sources of capital to repair and preserve its affordable housing assets. We will be contributing Capital Funds as well as reserves towards the conversion and rehabilitation activities. The UMHA currently has debt under an Energy Performance Contract and will be working with HUD to address outstanding debt issues. The UMHA is compliant with all fair housing and civil rights requirements and is not operating under a Voluntary Compliance Agreement

Each AMP will undergo a significant rehabilitation. The property will be financed with 4% LIHTC and debt, most likely FHA insured debt. The property will maintain all of the current units in their current configuration. There will be no change in bedroom distribution of units. The RAD conversions comply with all applicable site selection and neighborhood reviews standards.

Any necessary resident relocation related to RAD conversions will be performed in accordance with the HUD RAD Notices. Some relocation will be necessary, but rehabilitation activities will be staggered so a pool of vacant units will be used to avoid displacement.

The UMHA notified the public and residents that current and future Capital Fund Budget grants will be reduced or eliminated as a result of any projects converting to RAD. Within this Annual/Five Year Plan, the UMHA amended the definition of significant deviation to include RAD provisions. The UMHA intends to apply to HUD to utilize its unused ACC subsidies and then convert them to RAD.

The UMHA has no existing CFFP or RHF funds for conversion activities.

The Housing Authority will explore adding additional tax credit units to the Humphrey Gardens development.

The UMHA may bundle units from different AMPS to ensure that the new configurations are financially viable.

UMHA will continue to maintain elderly disabled preferences after conversion in those developments designated as such.

PHA Name: Municipal Housing Authority of the City of Utica
PHA Number: NY006
Project Name/Number/Conversion Type/Number of Units/Unit Breakdown: Adrean Terrace, N.D. Peters Manor and F.X. Matts Apartments/NY006000001/ PBRA/358 units/ 0BR:1, 1BR: 102, 2BR:99, 3BR: 129 , 4 BR:14,* 5+ BR:13
Project Name/Number/Conversion Type/ Number of Units/Unit Breakdown: Humphrey Gardens, Humphrey Gardens Extension, Gilmore Village, 819 Hamilton Street Apartments and Duplexes/ NY006000003/ PBRA/331 units/0BR: 10:, 1BR: 38, 2BR: 197, 3BR:72, 4BR:14, 5+BR : 0
Project Name/Number/Conversion Type/ Number of Units/Unit Breakdown: Perretta Twin Towers and Marino Ruggiero Apartments/ NY006000004/ PBRA/158 units/0BR:0, 1BR: 149, 2BR:9, 3BR:0, 4BR: 0, 5+BR: 0
Project Name/Number/Conversion Type:
Is this a priority project? ¹ No Developments are not located in Opportunity Zones.
Is the PHA under a VCA? No
Is there transfer of assistance? No
Is there relocation? Yes

RAD MEETING MINUTES SUMMARY

On April 25, 2019, the RAD Information Notice was hand delivered to all Municipal Housing Authority of the City of Utica, New York (UMHA) residents. Attached to each letter was the Current Plans for the Property, Frequently Asked Questions and Answers, and General Information Notice. Letters and information were customized for each public housing property.

Meeting Schedule

In order to facilitate resident participation in the RAD planning process, the Municipal Housing Authority of the City of Utica, New York (UMHA) held five meetings at our public housing sites. The following is a list of the meetings:

Marino Ruggiero Apartments

Monday, May 13, 2019; 4:00 p.m.

Marino Ruggiero Apartments Community Room, 415 Bleecker St., Utica, NY 13501

Adrean Terrace, Matt Apts., N.D. Peters Manor

Monday, May 20, 2019; 6:30 p.m.

Vega Martinez Center, 1790 Armory Drive, Utica, NY 13501

Gilmore Village, 819 Hamilton Street, Duplex Homes

Thursday May 16, 2019; 6:30 p.m.

Gillmore Village Computer Lab, 929 Hillcrest Avenue, Utica, New York 13502;

Humphrey Gardens

Tuesday, May 21, 2019; 6:30 PM

Humphrey Gardens Community Room, 225 Herkimer Rd, Utica, NY 13502

Perretta Twin Towers – Wednesday, May 22, 2019; 6:00 p.m.

Perretta Twin Towers Community Room, 509 Second St., Utica, New York 13501

MEETING AGENDA

Each meeting included the following major activities:

- Meeting Ground Rules
- Introductions
- Overview of RAD – Director of Programs - John Furman
- UMHA RAD Process – Bob Calli
- Questions/Answers

All residents received the following documents:

- WHY RAD – BETTER FUNDING, BETTER HOUSING, BETTER FUTURE
- Complete set of the HUD RAD Fact Sheets (10 Fact Sheets)

Mr. Furman and Mr. Calli delivered presentations which addressed the following topics:

- What is RAD?
- Goals of the RAD Program:
- Why is RAD Needed?
- Benefits of RAD
- How will RAD affect my rent?
- Relocation
- Resident Rights and Tenant Organizations
- RAD conversions
- Timeline
- How Residents can become involved in planning

Mr. Calli indicated that the Housing Authority has agreed to the following non-negotiable conditions for our participation in the RAD process

- The best interests of the existing residents of the UMHA shall be of paramount importance.
- The UMHA shall maintain a majority stakeholder interest in any newly created ownership entities.
- Any and all pertinent developer's fees shall be equally shared by and between the UMHA and its co-developer partner/collaborator.
- The UMHA shall act as the sole manager and maintenance administrator for the all projects converted to RAD.

Residents were able to ask questions during the presentation. Both speakers stressed the importance of resident participation.

Marino Ruggiero Apartments Meeting

Residents were very pleased that RAD would result in improvements to their building and expressed strong support for the RAD conversion. Residents cited specific capital improvements they would like to see implemented such as repairing the outside terrace of the community room.

Residents asked how does a project-based voucher affect their rent? Staff indicated that rent would remain the same as it is under public housing – 30% of adjusted gross income.

Residents expressed concerns about relocation. Staff replied that residents would not have to move because of this program. If the housing authority does major renovations on the buildings, residents

might have to be temporarily relocated. We plan to leave some units vacant so residents may move to another unit in the same complex during the renovation process.

Adrean Terrace, Matt Apts., N.D. Peters Manor

Russian, Bosnian, and Spanish interpreters were provided for this meeting. Residents were very happy that major rehabilitation would be conducted as part of the RAD conversion. Some expressed concerns about having to relocate on a temporary basis. However, staff assured them that we would help them with each step of the relocation process.

A resident wanted to know what improvements will be made. After a Capital Needs Assessment is done on the buildings, we will develop a plan and timeline to implement the needed changes. We will keep everyone informed as we go through the process of repairs and improvements.

Gilmore Village

Residents asked how long will it take to make change from public housing to RAD? Staff indicated that it is early to say but anywhere from 12-36 months to implement it. We are still in the planning phase.

A resident, who is currently paying a flat rent, asked how they will be affected? There will no longer be a flat rent option – you will pay 30% of your gross adjusted income. This will be phased in to make it easier for you. Medical expenses will still be allowed for deductions.

Another question asked was: If we are no longer public housing, how will this affect the way the rent is paid – will it be more like Section 8? Staff responded: The subsidy will no longer be a public housing subsidy but will be a Section 8 project based voucher. Rent for residents is still 30% of your income. Unlike a Section 8 housing choice voucher, the project based voucher is attached to a particular development.

Residents were happy that no major changes will occur in their share of the rent. They were pleased that the RAD would make it possible for the housing authority to renovate Gilmore Village and add new amenities to the property.

Humphrey Gardens

Residents asked what does it mean that through RAD public housing will move to Section 8? Staff said that currently the subsidies are public housing (PH) subsidies. Under RAD, there will be no more PH subsidies but instead all the subsidies will be project based. With this change residents will see very little difference.

Another question was where will the money come for repairing and maintaining the buildings? The housing authority will apply for Low-Income Housing Tax Credits and loans to finance improvements. Operating and capital fund reserves will be set up to fund future repairs.

Residents at Humphrey Gardens strongly support the RAD conversion because it would help fund needed property improvements and make the development a better place to live.

Perretta Twin Towers

Staff indicated that HUD Funding for the Public Housing program is decreasing and subject to annual congressional appropriations. On the other hand, funding for the Section 8 program is stable. RAD means converting federal conventional public housing assistance into Section 8 rental assistance contracts. The UMHA will continue to control and manage the properties. RAD will improve residents' lives by preserving units, making needed upgrades, and creating future financial stability.

.A great benefit of RAD will be that units will receive extensive and needed upgrades Staff indicated that residents must be an integral part of the RAD planning process and will have a voice in planning these improvements.

Residents asked how RAD conversion would affect their housing assistance. Staff indicated that residents will not lose their housing assistance and they will not be rescreened because of a RAD conversion. Residents' rent contributions will most likely be the same as it was under public housing—generally no more than 30% of the household's adjusted gross income.

Residents asked about relocation. Some apartments and buildings will require e extensive rehab. In these cases, residents will be temporarily relocated but will have the right to return to your development once construction is completed. The UMHA plans to design a relocation program that will minimize disruption and ensuring that residents do not have move out of the building under construction. Some units will be taken offline prior to RAD, thus providing temporary relocation housing. Renovation will be conducted in a phased approach that will mean that only some residents will be relocated at a time.

Residents asked what upgrades are being planned. The upgrades will vary by development based on a HUD approved inspection process. An example of possible upgrades consists of: kitchen renovations, bathroom renovations, heating and cooling upgrades, building systems upgrades.

Residents asked the following questions:

Will my rent change? For most residents, rent will not change. Residents will continue to pay no more than 30% of adjusted income. However, under RAD, there are no flat rents. For some higher income residents currently on flat rents, you may have an increase in your rent to 30% of income. If RAD conversion results in a resident's rent going up by more than 10% or \$25.00 per month the increase will be phased in over three years.

If I make too much money, will I have to move? Staff replied: No, as an existing resident, you cannot be forced to move. Normally, there are income limits under the rent assistance program. However, under a RAD conversion, existing public housing residents that would be over that income limit would be able to stay living in the development. New residents who move in later and become over income may have to move.

What if I am in a unit that is not the correct number of bedrooms for my household? Based on your household size and composition, if you are in an apartment that is too big for your household, you are allowed to stay there until a unit in the correct size becomes available. At that time, you will be required to move.

Residents expressed broad support for the RAD proposal and felt that it would make it possible for the housing authority to make repairs and maintain its affordability.

SECTION g. OCCUPANCY BY OVER-INCOME FAMILIES - NO

The U.S. Department of Housing and Urban Development (HUD) is considering a new rule to ensure that individuals and families residing in public housing actually need housing assistance should their incomes grow well beyond the levels required for their initial admission.

However, current law and regulation do not require eviction or termination of residency in circumstances when a household's income increases significantly and consistently over time, even if that family pays full market rent and receives no subsidy at all. Given the urgent need for affordable rental housing in many communities, HUD is considering ways to possibly limit public housing residency to those households that actually require housing assistance.

The UMHA will not amend its ACOP regarding occupancy by over-income families until HUD has issued final guidance on this topic. There are a very limited number of households in our housing inventory who are over-income.

SECTION h. OCCUPANCY BY POLICE OFFICERS - NO

In order to increase security for public housing residents, some PHAs allow police officers to reside in a public housing apartment, even if such police officers might not otherwise qualify, based on income, for public housing. The UMHA is not considering at this time amending its ACOP to include this change.

SECTION i. NON-SMOKING POLICIES - YES

In order to meet HUD requirements, UMHA adopted a smoke-free policy, which includes provisions on enforcement. In accordance with HUD regulations, UMHA also amended its public housing lease to include smoke-free provisions. UMHA issued a lease addendum stating it is a violation of the lease if a tenant, a member of the household, or a guest smokes inside the apartment, in common areas, or within 25 feet of the building. UMHA I also promoted employee adherence to the policy.

Graduated Enforcement

In consultation with residents, staff and the Bridges Tobacco Prevention Program and consistent with HUD guidance, UMHA is formulated a graduated enforcement approach to address violations of the smoke-free rules. Graduated enforcement means UMHA will address violations with escalated warnings and specific, progressive enforcement actions, while educating residents and providing smoking cessation resources or referrals.

UMHA staff observing violations can report them to the Property Management office. Violations will be documented. After a staff member has observed a resident violating the policy, or in response to multiple resident-generated complaints that a resident has violated the policy, Property Management will conduct an informal conference with the resident to discuss the violation or violations. Property Management will provide materials to educate the resident on smoking and health topics such as the health effects of secondhand smoke and strategies to take smoking outside the buildings and the 25-foot perimeter. Property Management will also provide the resident with available smoking cessation resources. The lessee (and co-lessee) will agree in writing to comply with the smoke-free policy and will acknowledge that further violations can result in the commencement of termination of tenancy proceedings.

Overall Implementation Strategy

Since the release of the HUD Rule, UMHA has engaged residents, staff, experts in smoking cessation, and others in dialogue about smoking and health. Smoke-free housing policy is fundamentally about promoting healthy living and working environments and UMHA will continue to work collaboratively to develop strategies and resources to educate residents about the health risks of exposure to secondhand smoke and to connect residents to cessation services for those who want to quit. UMHA will work to advance smoke-free implementation in alignment with other agency initiatives to achieve safe, clean, and connected communities. In any residential context smoke-free policy is an important component to healthy and sustainable housing, particularly for children, seniors, and residents of all ages with vulnerable health conditions.

SECTION j.

PROJECT-BASED VOUCHERS - YES

Consistent with UMHA's plan to increase affordable housing units, the UMHA may use Housing Choice Voucher units for project basing on units owned by the Authority, in joint venture with private developers or solely for other private developers intending to create new affordable housing units. The UMHA will follow applicable regulations in the issuance of these vouchers.

In November 2014, the Municipal Housing Authority of the City of Utica, New York released a Request for Proposal to award Project-Based vouchers for the creation or rehabilitation of affordable housing. The RFP solicitation complied with the terms of our procurement policy.

Based upon the criteria in the proposal, in 2015, the Housing Authority made a preliminary award of 25 PBV vouchers to Norstar Development for a project called Roosevelt Residences. The project is located across eleven (11) scattered sites in the Corn Hill neighborhood of the City of Utica New York, Oneida County. The project is comprised of eleven (11) sites and twenty-five (25) buildings. A new Resident Center and Management Office will also be constructed as part of the Roosevelt Residences project. Of the fifty units, 25 will be project-based section 8. The

UMHA will be the property manager, support services provider, and will own the units through a limited partnership. Of the 25 units, eight (8) of the units will be financed by the New York State Homeless Housing and Assistance Program (HHAP) and designated for homeless. Of the eight (8) units, five (5) will be targeted to veterans and the other three (3) for other homeless subpopulations including the chronically homeless, people living with AIDS, victims of domestic violence, chronic diseases, homeless youth, mental illness, and substance abuse disorders. The program will also accept homeless persons from contiguous counties such as Madison and Herkimer. It is anticipated that many of the other units in the development will be occupied by very low-income people who face imminent risk of homelessness and have supportive service needs. There will be a total of nineteen (19) beds contained in the eight (8) supportive HHAP units.

On June 15, 2016, HUD approved the Syracuse Housing Authority (SHA) as the independent entity to review the award of Project Based Vouchers to the Roosevelt Residences project. It found that the award of vouchers was made in accordance with Municipal Housing Authority of the City of Utica, New York's HCV Administrative Plan and that the proposed rents are reasonable.

On September 18, 2017, the UMHA entered into the PBV Agreement to Enter into Housing Assistance Payment Contract with Roosevelt Residences HDFC.

The project will be completed in December 2019.

The UMHA plans to issue RFPs in the future for new Project-Based Voucher projects.

SECTION k. UNITS WITH APPROVED VACANCIES FOR MODERNIZATION - YES

A PHA is eligible to receive operating subsidy for vacant public housing units for each unit month the units are under an ACC and meet one of the following HUD-approved vacancies:

(1) Units undergoing modernization. Vacancies resulting from project modernization or unit modernization (such as work necessary to reoccupy vacant units) provided that one of the following conditions is met:

(i) The unit is undergoing modernization (i.e., the modernization contract has been awarded or force account work has started) and must be vacant to perform the work, and the construction is on schedule according to a HUD-approved PHA Annual Plan; or

(ii) The unit must be vacant to perform the work and the treatment of the vacant unit is included in a HUD-approved PHA Annual Plan, but the time period for placing the vacant unit under construction has not yet expired. The PHA shall place the vacant unit under construction within two federal fiscal years (FFYs) after the FFY in which the capital funds are approved.

In accordance with 24 CFR §990.145(a)(1), the UMHA will request approval from the local HUD office to place units into the Undergoing Modernization sub-category. HUD has approved these units on an on-going basis.

SECTION I.
OTHER CAPITAL GRANT PROGRAMS (I.E., CAPITAL FUND COMMUNITY
FACILITIES GRANTS OR EMERGENCY
SAFETY AND SECURITY GRANTS)

Capital Fund Education and Training Community Facilities (CFCF) Program

If funding becomes available, the UMHA intends to apply to the Capital Fund Education and Training Community Facilities (CFCF) Program to develop new community centers to serve resident its Adrean Terrace Development as well as its HOPE VI properties.

Emergency Safety and Security (ESS) Funding Program

In 2010, the UMHA was awarded a grant of \$222,115 from the United States Department of Housing and Urban Development (HUD) Emergency Safety and Security (ESS) Funding Program to install surveillance camera systems and other security improvements in connection with its public housing developments. The grant was designed to enhance the ability of the UMHA security department to reduce criminal activity and discourage drug-related activity at its properties. Grant funds were used to install and purchase a digital network-based video surveillance system in connection with the Perretta Twin Towers, Marino-Ruggiero Apartments and Hamilton Street Apartments. The UMHA has submitted applications to the ESS Funding Program on an annual basis, but has not been approved for a new grant. Funding for this program has been greatly reduced. We intend to continue submitting applications to access this much needed funding for our developments. Applications were submitted in 2018 and 2019, but it was not approved.

Development of New Rental Housing Units

The UMHA will continue to develop rental units through making application to local, state, federal, and private funding sources. UMHA has 175 public housing rental subsidies available which can be used to help defray operating costs for new rental developments. The UMHA intends to utilize Low Income Housing Tax Credits, HOME and HCR funding, Federal Home Loan Bank, Bonding, New York State Department of Mental Health, OASAS, HOPE VI, Choice Neighborhoods, Rental Assistance Demonstration and other financing to develop new subsidized rental housing during the next five years. Possible projects include the acquisition and development of senior/disabled housing, live work/space for artists and creative professionals, assisted living, other rental projects, special needs and homeless housing, mixed income housing, and multi-unit family developments. The UMHA will explore acquiring and developing existing housing (particularly those with expiring Project-Based HCV contracts) to preserve the community's affordable housing stock.

The UMHA has developed new non-public housing rental units through its Roosevelt Residences project and Utica College Pioneer Village project.

NEW HUD LEAD REGULATIONS

In January 2017, the Department of Housing and Urban Development (HUD) published a final rule amending the lead-based paint regulations to reduce the blood lead levels in children under the age of six who reside in federally assisted housing. In addition to revising the definition of elevated blood lead level to conform to Centers for Disease Control and Prevention (CDC) guidance, the rule also establishes more comprehensive testing and evaluation procedures and addresses other aspects of CDC guidance regarding assisted housing. Other highlights of the rule include:

- Definitions for the terms certified, environmental investigation, evaluation, and expected to reside have been added to the regulations.
- Posting notices of environmental investigation in centrally located common areas is prohibited to protect the family's privacy, although the PHA must notify residents if conducting lead hazard evaluations or reduction activities.
- When a child under six has an elevated blood lead level, the housing provider must conduct an environmental investigation within 15 calendar days of receiving notification
- The housing provider must complete the lead-hazard reduction within 30 calendar days of receiving the environmental investigation report.
- If lead hazards are identified at the property, the housing provider must conduct risk assessments for the rest of the property within 30 calendar days from receiving the environmental investigation report when there are fewer than 20 units on the property, and within 60 days if there are more than 20.
- If the risk assessment for the rest of the property identifies further lead hazards, the housing provider has 30 calendar days to complete the lead hazard reduction, or 90 days if there are more than 20 units identified with lead-based paint hazards where the control work would disturb more than the de minimis threshold.
- The housing provider is required to report cases to HUD and provide documentation that it has completed requirements within the specified timeframes within 10 days of the deadline for each activity.

In conjunction with the Oneida County Health Department and our local lead coalition, the UMHA will be taking steps to enforce the provisions of the new rule.

In 2018, the Utica Municipal Housing Authority received a \$1 million HUD grant to eliminate lead-based paint hazards from the authority's oldest housing communities.

The agency was one of 20 public housing agencies across the country awarded grant funding through the U.S. Department of Housing and Urban Development's Lead-Based Paint Capital Fund Program. The Utica Municipal Housing Authority was one of four authorities in New York State to receive awards, along with Port Chester, Plattsburgh and Schenectady.

The grant will identify and eliminate lead-based hazards in Adrean Terrace, N.D. Peters Manor and F.X. Matt Apartments, the housing authority's three oldest developments. The UMHA will

work with the Lead-Free MV coalition, City of Utica, and the Community Foundation of Herkimer & Oneida Counties to develop an action plan.

In 2019, the UMHA received a Capital Fund Lead Grant in the amount of \$1,000,000 for its Adrean Terrace AMP. Both lead grants will be coordinated with our RAD conversion projects to ensure that these funds are used to remediate units before they are converted to PBRA.

FAIR HOUSING

The UMHA is aware that Federal and State fair housing laws make it illegal to discriminate in the rent or sale of housing based on race, color, national origin, religion, familial status, disability and sex. We are committed to full compliance with federal, state and local fair housing laws and ordinances. The UMHA understands and is committed to its obligation to affirmatively further fair housing in our community.

The UMHA is a leader in fair housing education and advocacy in the Central New York region. CNY Fair Housing, the City of Utica, and the Utica Municipal Housing Authority conducted two “Playing Fair: Fair Housing Landlord Training” workshop sessions on August 24, 2018. The workshops covered Fair Housing laws and responsibilities, and were targeted to area landlords, property managers, realtors, housing developers, housing authorities, and anyone doing business in the housing industry. The UMHA again will sponsor the workshops in 2019.

B.3 CIVIL RIGHTS CERTIFICATION. FORM HUD-50077, *PHA CERTIFICATIONS OF COMPLIANCE WITH THE PHA PLANS AND RELATED REGULATIONS*

PLEASE FIND ATTACHED TO THE NEXT PAGE.

**Certifications of Compliance with
PHA Plans and Related Regulations
(Standard, Troubled, HCV-Only, and
High Performer PHAs)**

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 02/29/2016

**PHA Certifications of Compliance with the PHA Plan and Related Regulations including
Required Civil Rights Certifications**

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the X 5-Year and/or X Annual PHA Plan for the PHA fiscal year beginning January 1, 2020, hereinafter referred to as "the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Resident Advisory Board or Boards in developing the Plan, including any changes or revisions to the policies and programs identified in the Plan before they were implemented, and considered the recommendations of the RAB (24 CFR 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
4. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
5. The PHA certifies that it will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
6. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identifying any impediments to fair housing choice within those programs, addressing those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and by maintaining records reflecting these analyses and actions.
7. For PHA Plans that includes a policy for site based waiting lists:
 - The PHA regularly submits required data to HUD's 50058 PIC/IMS Module in an accurate, complete and timely manner (as specified in PIH Notice 2010-25);
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
 - Adoption of a site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
 - The PHA shall take reasonable measures to assure that such a waiting list is consistent with affirmatively furthering fair housing;
 - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).
8. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
9. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
10. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
11. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
12. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).

13. The PHA will provide the responsible entity or HUD any documentation that the responsible entity or HUD needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58 or Part 50, respectively.
14. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under Section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
15. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
16. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act, the Residential Lead-Based Paint Hazard Reduction Act of 1992, and 24 CFR Part 35.
17. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments), 2 CFR Part 225, and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
18. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.
19. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.
22. The PHA certifies that it is in compliance with applicable Federal statutory and regulatory requirements, including the Declaration of Trust(s).

Municipal Housing Authority of the City of Utica, NY NY006


PHA Name

PHA Number/HA Code

Annual PHA Plan for Fiscal Year 2020

5-Year PHA Plan for Fiscal Years 2020-2024

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. **Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802).

Name of Authorized Official Louis Parrotta	Title Board Chairperson
Signature 	Date October 16, 2019

Civil Rights Certification
(Qualified PHAs)

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB Approval No. 2577-0226
Expires 02/29/2016

Civil Rights Certification


Annual Certification and Board Resolution

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official, I approve the submission of the 5-Year PHA Plan for the PHA of which this document is a part, and make the following certification and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the public housing program of the agency and implementation thereof:

The PHA certifies that it will carry out the public housing program of the agency in conformity with title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990, and will affirmatively further fair housing by examining their programs or proposed programs, identifying any impediments to fair housing choice within those program, addressing those impediments in a reasonable fashion in view of the resources available and working with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and by maintaining records reflecting these analyses and actions.

Municipal Housing Authority of the City of Utica, New York NY006
PHA Name PHA Number/HA Code

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official	Louis Parotta	Title	Board Chairperson
Signature		Date	October 16, 2019

B.4 MOST RECENT FISCAL YEAR AUDIT

FISCAL YEAR AUDIT

[24 CFR Part 903.7 9 (p)]

1. Yes No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?
2. Yes No: Was the most recent fiscal audit submitted to HUD?
3. Yes No: Were there any findings as the result of that audit?
4. Yes No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? _____
5. Yes No: Have responses to any unresolved findings been submitted to HUD?
If not, when are they due (state below)?

A. 5 PROGRESS REPORT ON CURRENT B. GOALS AND OBJECTIVES

The following table reports on the progress the UMHA has made in meeting the goals and objectives described in the 5-Year Plan.

GOAL ONE: EXPAND THE SUPPLY OF ASSISTED HOUSING	
Objective	Progress
Maintain high occupancy levels:	Occupancy for public housing and mixed finance units remains at 99%. In order to maintain its high occupancy rate, UMHA will continue to strengthen marketing/outreach efforts, reduce unit turnaround times, and minimize vacancies. The housing authority is currently beginning a re-branding effort, overhauling its website, and increasing its social media presence.
Leverage private or other public funds to create additional housing opportunities:	In 2007, the UMHA acquired the 819 Hamilton Street property from the NYS Housing Trust Fund Corporation and rehabilitated the property into nine efficiency ACC units for low-income and special needs populations. AARA and NYS funds were used to fund rehabilitation activities. In 2009, the UMHA completed the HOPE VI

	<p>Revitalization Grant which resulted in the creation of 109 affordable housing rental units and 51 homeownership units.</p> <p>In 2014, the UMHA completed the renovation of a vacant building at its F.X. Matts development into a five one bedroom accessible units of affordable housing targeted to the disabled. Financing was provided by the Replacement Housing Factor and HOPE VI Program Income programs.</p> <p>In 2015, the UMHA completed the construction of twelve (12) new units of affordable housing at its existing Humphrey Gardens site. A community center was also built to provide resident service programs as well as a computer center. Funding was provided by the Replacement Housing Factor and HOPE VI Program Income programs.</p> <p>In September 2017, UMHA and its developer closed on \$16 million in tax equity, bond, and grant funding to construct 50 units of affordable housing in the Cornhill neighborhood of Utica. The Roosevelt Residences Project will continue the work of our successful HOPE VI project to revitalize the central city as well as provide new housing opportunities for working families, homeless, and veterans. The project will have no ACC subsidies but will have 25 HCVPB vouchers. Construction will be completed in 2019.</p>
<p>Leverage private or other public funds to create additional housing opportunities:</p>	<p>In 2014, the UMHA completed the construction and sale of seven homeownership units on the site of the former Lincoln School in Utica. Financing was provided by the NYS Housing Trust Fund Corporation, New York State Affordable Housing Corporation, and the City of Utica HOME Program.</p> <p>The UMHA rehabilitated a total of 48 units in the HOPE VI Target Area of the Cornhill area through \$1,140,000 in funding from the County of Oneida, the State of New York Empire State Development, New York State Affordable</p>

Housing Corporation, City of Utica HOME program, Weatherization Assistance in-kind funds, and the New York State Division of Housing and Community Renewal HOME program. The Home Preservation Program involved the moderate rehabilitation of owner occupied housing units, targeting assistance to the elderly and disabled.

In 2014, the UMHA selected Norstar Development USA, L.P. through a competitive procurement process to develop new affordable housing units on behalf of the UMHA. In 2015, the UMHA and Norstar received local, state, federal, and private funding to construct 50 new units of affordable housing in the City of Utica. Construction began in October 2017 and will be completed in 2019.

The UMHA intends to explore the feasibility of future housing development projects to meet the local need for affordable and quality housing. It is collaborating with the Oneida Housing Authority to renovate the former elementary school in Sylvan Beach elementary school into affordable housing for seniors. The project will be completed in May 2019. The UMHA will create collaborations with private sector housing developments organizations to sponsor the creation of Housing Development Fund Corporations to preserve and expand affordable housing in Central New York. It will also offer property and construction management to private and not for profit developers.

In conjunction with City of Oneida Housing Authority (OHA) and the Parkway Center, the UMHA is in the process of developing affordable senior housing community in Verona, New York between the cities of Utica, Rome, and Oneida. The proposed project, Jason Gwilt Memorial Senior Apartments ("J.G. Memorial Senior Apartments"), involves the adaptive reuse and rehabilitation of a former elementary school building into 50 rental apartment units as well as a senior center that

	<p>will provide services to the residents and the general public. There will be 44 one-bedroom and 6 two-bedroom units. The project will be completed in May 2020.</p> <p>All 50 units will be financed by the Low Income Housing Tax Credit program and will serve seniors with incomes at or below 60% of Area Median Income (AMI). The Homeless Housing and Assistance Program approved a grant of \$2.1 million for 10 units to provide permanent housing for homeless frail/or disabled elderly persons. The Parkway Center was approved for an Empire State Supporting Housing Initiative to cover the cost of a half - time case manager as well as rental assistance for the 10 HHAP units.</p>
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GOAL TWO: IMPROVE THE QUALITY OF ASSISTED HOUSING

Objective	Progress
Enhance public housing management.	The UMHA is a high performer PHA.
Improve resident/customer satisfaction:	<p>As part of a “Quality of Life” management philosophy and approach, the UMHA has implemented a “Resident First” initiative to increase customer satisfaction and improve property management functions. Activities include on-going apartment inspections to ensure the safety of residents, one-to-one counseling with residents who are delinquent with rent, frequent resident consultation meetings, and Guardian Angel and Family Friends Programs to coordinate supportive services to elderly, disabled, and frail residents as well as families. Newsletters have been published to enhance communication with residents and community agencies. The UMHA has four active resident associations which provide a means for tenants to communicate concerns with management and to participate in housing authority programs. The resident associations operate ROSS Service Coordinator grants in conjunction with the UMHA. Resident associations, which have recently been incorporated, have been approved for 501(c)(3) tax exempt status so they can apply for local, state, and federal grants</p>

<p>Concentrate on efforts to improve specific management functions:</p>	<p>The UMHA has successfully transitioned to asset-based management. New software has been installed to enhance waiting list, work orders, and resident screening and eligibility processing. Project-based budgeting and accounting procedures have been implemented to ensure consistency with asset management regulations. The Authority’s existing developments have been re-designated to become a cluster of nine property groups for the purposes of project-based accounting and management. In FY 2015, the Gillmore Village and Humphrey Gardens AMPs were combined to improve operational efficiency. In an effort to continue our on-going commitment to improve asset management, the UMHA added two Assistant Asset Managers to each of our largest AMPs to oversee their day-to-day operations. Within the past year, the housing authority has increased its tenant relations and security staff and hired a HVAC specialist to improve management functions.</p>
<p>Renovate or modernize public housing units</p>	<p>The UMHA Force Account crew continues to renovate apartments, remodel bathrooms, and install new windows. Through funding provided by the New York State Energy Research & Development Authority and M&T bank, the UMHA installed 8.2 million dollars in new energy conservation and capital improvements. The UMHA has received \$4,572,043 in both competitive and formula ARRA funds to install energy improvements and modernize public housing units. In 2013, the UMHA was awarded a grant of \$300,000 to replace windows at its NYS Public Housing /HUD Project-based Project – Chancellor Apartments. In FY 2015, the UMHA has begun two new energy performance contracts amounting to about 4 million that will result in cost savings and installation of additional energy conservation improvements such as lighting, plumbing, and windows. Work will be completed in 2018. In 2018, the UMHA received a \$1 million grant from the HUD CFP Lead Program to evaluate and mitigate lead</p>

	hazards in its Adrean Terrace, N.D. Peters Manor, and F.X. Matt Apartments development. In 2019, the UMHA obtained another \$1 million grant from the HUD CFP Lead Program for the Gillmore Village and Humphrey Gardens complex.
Demolish or dispose of obsolete public housing:	The Washington Courts and Goldbas Apartments have been demolished and the cleared site has been conveyed to the City of Utica for development. The UMHA has submitted an application the Rental Assistance Demonstration Project to modernize its entire portfolio.
Provide replacement public housing	The previously occupied 70 units at Washington Courts were replaced through the HOPE VI project. The UMHA developed 109 HOPE VI replacement rental units, and completed 40 homeownership units. The UMHA used its RHF and HOPE VI Program to construct 12 new units of affordable housing at its Humphrey Gardens complex. The UMHA is no longer eligible for RHF funding.
Use technology to improve the delivery of core business functions.	The UMHA will be upgrading its website. It has purchased new servers and software to meet its technology needs. The UMHA and its residents associations have automated client intake and reporting through software acquired through the nonprofit Pangea Foundation. The UMHA has retained a marketing firm to help it to continue with website improvements, rebrand its image, develop a strategic plan, and create a larger social media presence.
GOAL THREE: INCREASE ASSISTED HOUSING CHOICES	
Objective	Progress
Continue to conduct outreach efforts to potential voucher landlords.	The UMHA Housing Choice Voucher Program successfully completed an enhanced tenant voucher program for a housing development in New Hartford, NY. This initiative has increased the housing choices of the impacted population and reduced displacement. UMHA has and will continue to attract new landlords to participate in our voucher program. The UMHA has allocated 25 vouchers for a Project-Based program targeted to the homeless and veterans through its Roosevelt Residences

	<p>project. The UMHA has expanded its jurisdiction for its HCV program from Utica to Oneida County. UMHA has applied for the Mainstream Program and intends to access vouchers through the Foster Youth to Independence Initiative.</p>
<p>Create a one-stop community housing counseling and referral service</p>	<p>Through the AmeriCorps program, the UMHA developed a Self-Sufficiency Housing Resource Center to help community residents access housing resources. The goal of the center is to provide one stop shopping for housing services and help low-income and homeless people find housing. The UMHA has become a participating agency in the Homeless Management and Information System which will help it to improve services for the local homeless population. The Housing Authority currently operates a homeless street outreach program and has received funding for a Rapid Rehousing program.</p>
<p>Increase the UMHA voucher lease-up rate for its Housing Choice Voucher Program.</p>	<p>The Housing Choice Program has a robust waiting list and will continue to maintain high rates of lease-up. The program has approved a project-based voucher contract connection with the Roosevelt Residences to offer affordable housing to the area's most disadvantaged populations. UMHA will continue efforts to maintain its high performer status and operate the Section 8 program in an efficient and effective manner. The HCV program has added a new preference for survivors of domestic violence and expanded the program to all of Oneida County.</p>
<p>GOAL 4: Improve Public Housing Security</p>	
<p>Objective</p>	<p>Progress</p>
<p>Continue implementing public housing security improvements.</p>	<p>The American Red Cross provided an in-kind donation of about 3,000 smoke detectors for UMHA affordable housing units. The UMHA successfully completed a Federal Emergency Management Agency grant of \$363,672 which conducted home inspections, fire prevention activities for public housing and community residents, and installed smoke alarms and cooking systems on stoves to prevent fires. In</p>

	<p>2014, the New York State Housing Trust Fund Corporation approved a grant of \$168,850.00 to the UMHA’s Chancellor Apartments to install security improvements such as LED lights, security cameras, emergency call system and gas powered emergency generator. The UMHA received a second grant of \$189,150 from the New York State Homes and Community Renewal to complete the installation of the improvements. During the past two years, the UMHA increased its security staff, purchased a security vehicle, increased patrols during evening hours, and strengthened its lease enforcement activities to ensure resident safety. In 2018, the UMHA installed a web-based key fab system to improve resident safety and security.</p>
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GOAL FIVE: PROMOTE SELF-SUFFICIENCY AND ASSET DEVELOPMENT OF ASSISTED HOUSEHOLDS

Objective	Progress
<p>Expand access of residents to education and job training programs;</p>	<p>1. The UMHA continues to operate Family Self-Sufficiency as well as ROSS Service Coordinator Programs through its resident associations which are designed to help residents obtain training and employment or maintain independent living. The UMHA also operates Neighborhood Network Center programs at the Gillmore Village, Adrean Terrace, and Perretta Twin Towers. In 2015, HUD renewed funding for the UMHA resident associations’ service coordinator grants in the amount of \$783,000 for three years which provides supportive services to housing authority residents. In 2019, two of three resident associations received three-year grants. Due to its success, the UMHA’s Family Self-Sufficiency program has been renewed annually. The U.S. Corporation for National Service renewed the UMHA AmeriCorps program for a second three-year term. The Community Foundation of Herkimer and Oneida</p>

	<p>Counties has provided funding for the program to meet its match requirement for five consecutive years. The United Way and Oneida County Workforce Development Board has awarded match funding to the UMHA for its sixth year of the AmeriCorps Program. The AmeriCorps program provides housing information and referral services, financial literacy, and employment readiness training to public housing and community residents. Our AmeriCorps was expanded in 2017 to include the Empire Corps project which focuses on poverty reduction efforts in the City of Utica. Funded by Oneida County Workforce Development for the past three years, the UMHA's Summer Youth Employment Program provides jobs and employment readiness training for public housing youth. Through a collaboration with Workforce Development, we are providing short-term employment and educational opportunities to 50 low-income youth, focusing on immigrants and refugees. Mohawk Valley Community Action Agency has re-established the Head Start Center to provide child development services at our N.D. Peters Manor development. A new resident center and computer lab have been established at the Humphrey Gardens development. The UMHA has increased its Section 3 and M/WBE compliance efforts by instituting a new Paint Your Way to Success Program which has employed 8 public housing residents. We also held a construction career fair for public housing and community residents. The housing authority has conducted outreach to M/WBE firms by participating in the M/WBE expo and purchasing supplies from NYS registered firms. In 2017, The UMHA received funding from the</p>
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	<p>Workforce Development Board to conduct the Fresh Start Section 3 Training Program which will provide construction skills training to youth ages 18-24. The Housing Authority Energy Performance Contractor hired a public housing resident to coordinate tenants and contractor relations. The UMHA has recently created a new not for profit corporation – Central New York Community Solutions – to allow the housing authority to diversify its funding sources for resident service programs. In conjunction with the HomeOwnership Center and the City of Utica, our AmeriCorps Program is in the process of establishing an outreach center to serve the residents of Cornhill, a low-income neighborhood in the center of Utica. Our members have commenced canvassing operations to alert the community about the center and assess needs which can be addressed in future follow-up visits. The Center will provide employment and financial literacy services as well as after-school youth programs focusing on financial literacy and nutrition education/wellness. The Utica Housing Authority has entered into a partnership with the Mohawk Valley Homeless and Housing Coalition to provide street outreach services to the City's homeless population. One of our members is stationed at their office and will be conducting outreach to areas identified as having homeless people (e.g., under bridges, near train station, abandoned houses, parks). These clients will be referred to the Housing Information and Referral Center for additional housing placement and support services.</p>
Objective	Progress
Identify supportive services to increase independence for the elderly or families with disabilities.	The UMHA received funding from HUD to operate a service coordinator grant for its project-based Section 8 New York State Public

	<p>Housing Chancellor property that serves the disabled and elderly. A ROSS Service Coordinator grant targets the aged and disabled residents of the Perretta Twin Towers and Marino-Ruggiero Apartments. The program provides intensive case management to residents along with wellness, exercise, mediation, and nutrition classes, as well as social, recreational, and food distribution programs. The Chancellor Tenant Association has organized many social events and health education programs without staff assistance. The UMHA AmeriCorps Program operates Guardian Angel and Family Friends Program that provides home visits to help residents connect with community services. The housing authority is working with a local faith-based community organization to provide prepared meals for its senior and disabled residents.</p>
Objective	Progress
<p>Maintain and expand housing authority resident service programs.</p>	<p>Grant awards such as HUD ROSS grant funds to its resident associations and AmeriCorps funding through the New York State Commission for National and Community Service have enabled the UMHA to continue providing high quality services to its residents. In 2018, the UMHA AmeriCorps Program was renewed for a third three-year grant and its funding and member slots were doubled. This program helps residents to become self-sufficient by providing services such as computer and financial literacy classes and workshops, GED classes, career exploration programs, job readiness and life skills training. In addition, two of the UMHA AmeriCorps members serve as Housing Assistance Coaches who help families and individuals locate safe and affordable housing. Two other AmeriCorps members assist at-risk veterans to obtain housing and other benefits through the Veterans Administration and local agencies. The program has developed new initiatives such as Guardian Angel and Family Friends programs that help residents maintain their housing, after-school and summer programs to help youth remain in school, citizenship</p>

	<p>program, and the Summer Youth Employment Program. One of the AmeriCorps members is a licensed social worker who helps residents connect with mental health services. The UMHA established a partnership with the national veteran organization Soldier On as well as the Central New York Veterans Outreach Center to provide services to homeless veterans. In 2017, the UMHA AmeriCorps expanded to include the Empire Corps initiative of Governor Cuomo. An additional seven AmeriCorps members were added to our program to provide services to low-income City of Utica residents. The Oneida County Workforce Development awarded UMHA \$6,500 each year for the last three years to oversee a Summer Youth Employment Program that provided thirty-five public housing youth residents with the opportunity to learn hands-on job skills, career exploration, job readiness and anti-drug and alcohol classes. The UMHA Computer Network Centers serve as one-stop employment centers for adults and provide after-school programs for youth. Children are provided with homework help, tutoring, mentoring, and financial literacy instruction. In 2018, the housing authority established a community outreach center at the Utica Public Library to provide job, housing assistance, and financial literacy workshops as well as services during the evening hours. Other outreach centers were established at Our Saviour Lutheran Church and Cornerstone Church. In 2019, AmeriCorps members through host site agreements have been placed at Upstate Cerebral Palsy and the Mohawk Valley Resource Center for Refugees.</p>
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B. 6 RESIDENT ADVISORY BOARD COMMENTS

SUMMARY OF RESIDENT COMMENTS AND RESPONSES

At the Annual Plan/Five Year Plan/RAD resident consultation meetings (i.e., development meetings, Resident Advisory Board, meetings public hearing), John Furman, Director of

Programs, Grants, Compliance, and Monitoring, explained that UMHA for FY 2020-2024. At the meetings, Mr. Furman used a PowerPoint presentation to cover the following topics:

- What is the Annual Plan?
- How does the planning process work?
- What is the schedule of Outreach Meetings/Public Hearing/Resident Advisory Board Meetings?
- What is the role of Resident Associations?
- What were the accomplishments of the Housing Authority during the last year?
- What are the challenges facing the housing authority?
- What are the UMHA's FY 2020 Strategic Initiatives?
- What services does the Community Resource Department provide to residents?
- How can we improve property management?
- What is the Capital Fund Program?
- What capital improvements are needed to make our complexes better?
- What is RAD and why is it needed?
- What suggestions do residents have for improving our operations?

He also reviewed the importance of the Annual Plan, HUD requirements, and how residents can become involved in the process. Mr. Furman distributed copies of the draft Annual Plan as well as RAD fact sheets.

Mr. Furman said that our management and Board of Commissioners take very seriously the comments made by residents regarding our agency operations and greatly appreciates the input of residents into our planning process.

Meetings were co-sponsored by the UMHA Resident Associations and the Resident Advisory Board. RA Board members were present at the meetings and explained how the associations can benefit residents, improve communication between tenants and management, and sponsor resident services and programs. Meetings were held at each housing authority development location.

Representatives of the UMHA Community Resource Department attended the meetings and explained their programs and services.

At the meetings, Mr. Michael Wittman (Modernization Director) provided an update on capital improvement projects authority wide as well as at the specific developments. He also asked for maintenance and capital improvement suggestions as well as long-term recommendations for improvements related to the RAD rehabilitation.

Mr. Furman summarized the draft 2020 Five Year Annual Plan. He discussed the recent agency initiatives and programs. Other UMHA management staff were present at the meetings and updated residents regarding changes in operational procedures.

Mr. Furman summarized the major changes to the Annual Plan:

- Submission of Rental Assistance Demonstration (RAD) application to HUD to convert entire portfolio of all public housing units to Section 8 funding;
- Development of financing plan and related proposals for the rehabilitation of UMHA's LIPH units;
- Development of new policies, procedures, and leases as well as staff training to prepare the housing authority for conversion to RAD Section 8 funding;
- Two HUD Capital Fund Lead Grants of \$1,000,000 each involving the assessment and mitigation of lead hazards at the Adrean Terrace, N.D. Peters Manor, F.X. Matt Apts. as well as Gillmore Village/Humphrey Gardens;
- Expansion of the UMHA programs serving the homeless including a homeless street outreach and Rapid Rehousing rental assistance programs;
- Commencement of the operation of the Utica College Project which will provide student housing and income for the UMHA;
- Completion of construction and full lease-up of the 50 unit LIHTC Roosevelt Residences
- Completion of construction of the Verona Senior/Disabled Project whereby the UMHA will partner with the Oneida Housing Authority to create 50 new units of affordable housing in rural Oneida County;
- Continued implementation of the expanded AmeriCorps Grant to help public housing and community residents to obtain jobs, housing, financial literacy education and veteran services;
- Implementation of a new customer-friendly website to provide the community with information and facilitate tenant and vendor transactions;
- Creation of a new re-branding and marketing campaign for the housing authority.

Spanish, Bosnian, and Russian interpreters were provided for residents who requested it.

Mr. Furman indicated that the purpose of these meetings was to solicit suggestions as to the FY 2020 Annual/Five Year Plan, new resident service programs, capital improvements, Rental Assistance Demonstration application, and other enhancements to the UMHA. He also requested input as to the UMHA lease, Housing Choice Voucher/ Section 8 Administrative Plan, Admissions and Continued Occupancy Plan, FSS Action Plan, Chancellor Apartments Tenant Selection Plan, and other policies and operating procedures.

The following is a summary of the resident concerns and the housing authority response:

Major resident concerns were:

Enforcement of smoking rules:

Residents asked for stricter enforcement of smoking rules.

UMHA Response: UMHA is committed to enforcing smoking rules, helping smokers to quit, and addressing resident concerns relative to smoking.

There is a need for more social and recreational activities for youth, aged, and disabled.

UMHA Response: Residents have not been participating enough in scheduled activities. The UMHA conducts outreach including newsletters informing residents of events. The UMHA will communicate information in Spanish and other languages. Our resident associations will sponsor recreational and social events. Staff will ask residents to suggest possible activities.

RAD conversion relocation: Residents are concerned that they would have to move out of the development during the RAD rehabilitation activities.

UMHA Response: UMHA assuaged resident concerns about the relocation process. A certain number of units will not be leased and available for temporary relocation. UMHA will deploy staff to ensure that resident needs are addressed and the authority will make available moving assistance as stipulated by the Uniform Relocation Act. The UMHA will do its best to minimize disruption in residents' lives.

RAD Rents Residents asked whether their rent would remain the same after the RAD conversion.

UMHA Response: In almost all cases, rent will remain the same – thirty percent of the tenant gross household income.

Question: Will a RAD conversion affect my housing assistance?

Residents will not lose their housing assistance and they will not be rescreened because of a RAD conversion. Even though a RAD property can use private money to make large repairs, it will still receive money from HUD. With this subsidy from HUD, UMHA will manage RAD properties through PBRA program. RAD requires that converted properties be owned or controlled by a public or nonprofit entity.

UMHA Response:

Safety Concern: Residents expressed concern about safety and security and asked for more surveillance cameras and security staff. They acknowledged that public housing buildings were safe places to live but would like more security patrols, higher visibility of security, more surveillance cameras, and better entry doors.

UMHA response: The UMHA has undertaken efforts to increase security, purchase more cameras, provide crime prevention activities, refer residents to drug treatment programs, and apply for grant funding.

Disruptive tenants: Some residents complained about residents who are noisy, disrespectful, and are not maintain the cleanliness of their apartments.

UMHA response: It is important for residents to report concerns to their property managers to resolve these concerns.

Residents were asked to suggest features they would to see in the rehabilitated RAD properties. The following were their ideas:

Ample space, in-unit washers and dryers, closets, eating area/breakfast bar, installed microwave oven and dishwasher, WIFI and cable TV ready, a lot of electrical outlets, central air conditioning, video surveillance system, help button more parking, fitness center, improved community rooms and centers, all utilities included, bike storage, package lockers, more surveillance cameras, on-line payment and maintenance request system, on-site social worker and home health care, exercise, yoga, and stress reduction classes, bus trips, key less entry, one-site laundromats and resident stores, recreation programs, on-site health care, housekeeping assistance, home health care aides, covered parking, fencing around complex, smoking hut, larger elevators, van transportation, weekly group meals, reliable emergency backup system, limit to entrance keys given to family members, more maintenance workers, , resident security patrol, walk-in showers with safety glass, multi-lingual signs, more recreational and social activities, accessible bathrooms and kitchens, more translators and interpreters, materials in multiple languages, panoramic mirrors connected to video cameras, housing authority-sponsored tenant insurance,

Residents were appreciative of building improvements, planned installation of new cameras, and energy improvements. Residents were generally happy with maintenance services.

Residents were supportive of the Rental Assistance Demonstration Project because it will maintain rents at the same level, ensure long-term viability of assisted housing, and make possible needed building improvements.

The priorities of the Housing Authority Annual Plan reflects the comments made by residents at our meetings – adoption of smoke free policy, resident service programming, building maintenance upgrades, and safety and security services.

There were some additional comments, complaints and questions at the meetings which were not related to the Rental Assistance Demonstration Project, Annual/Five Year Plan, the ACOP, the HCVP Administrative Plan, the Capital Fund Program, or the 5 Year Plan. For example, some residents complained about issues with neighbors, maintenance needs or work orders. These were addressed on an individual level and were not listed in these comments.

B. 7 CERTIFICATION BY STATE OR LOCAL OFFICIALS

Please find attached Form HUD 50077-SL, *Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan.*

**Certification by State or Local
 Official of PHA Plans Consistency
 with the Consolidated Plan or
 State Consolidated Plan
 (All PHAs)**

U. S Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 2/29/2016

**Certification by State or Local Official of PHA Plans
 Consistency with the Consolidated Plan or State Consolidated Plan**

I, Brian Thomas, the Commissioner, Dept. of Urban & Economic Develop
Official's Name *Official's Title*

certify that the 5-Year PHA Plan and/or Annual PHA Plan of the
Municipal Housing Authority of the City of Utica, NY (FY 2020 Annual Plan & Five Year Plan FY 2020-2024)
PHA Name

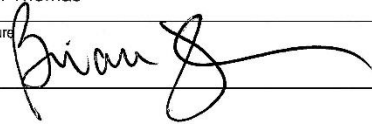
is consistent with the Consolidated Plan or State Consolidated Plan and the Analysis of
 Impediments (AI) to Fair Housing Choice of the
City of Utica, New York
Local Jurisdiction Name

pursuant to 24 CFR Part 91.

Provide a description of how the PHA Plan is consistent with the Consolidated Plan or State
 Consolidated Plan and the AI.

The PHA Plan furthers the goals of the City of Utica Consolidated Plan and AI in these ways: 1) Public housing preservation; 2) New affordable housing development; 3) Housing placement services for homeless & at-risk households; 4) Public housing resident supportive services; 5) Promotion of Section 3 economic opportunities for residents and businesses; 6) Fair housing education and referral services; 7) Increase in housing choices; 8) Deconcentration and integration in public housing.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. **Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official Brian Thomas	Title Commissioner
Signature 	Date September 30, 2019

B. 8 TROUBLED PHA

The UMHA is not a troubled PHA.

C. STATEMENT OF CAPITAL IMPROVEMENTS

Work Completed and Planned – 2018-2020

AUTHORITY WIDE

- Security Camera Upgrade
- Snow Removal Equipment Upgrade

1. Adrean Terrace/N.D. Peters Manor/F.X. Matt Apartments

Work completed during past year

- Apartments renovations
- Installation of Vega Center Windows
- Security Camera Upgrade
- Security Lighting Upgrade
- Landscaping

Planned work for 2019/2020

- Apartment Renovations - Extensive Upgrades
- Parking Lot Improvements, Landscaping Playgrounds & Side Walks
- Cycle Painting Of Apartments

Long-Term Plan

- The Utica Municipal Housing Authority intends to undertake RAD at this AMP to perform extensive renovations to modernize and upgrade existing apartments/buildings/infrastructure/site.

2. Gillmore Village

Work completed during past year

- Apartment Renovations
- Landscaping

Planned work for 2019/2020

- Apartment Renovations
- Parking Lot Improvements, Landscaping, and Side Walks
- Cycle Painting Of Apartments

Long-Term Plan

- The Utica Municipal Housing Authority intends to undertake RAD at this AMP to perform extensive renovations to modernize and upgrade existing apartments/buildings/infrastructure/site.

3. Humphrey Gardens

Work completed during past year

- Apartment Renovations
- Landscaping

Planned work for 2019/2020

- Apartment Renovations
- Parking Lot Improvements, Landscaping and Sidewalls

Long-Term Plan

- The Utica Municipal Housing Authority intends to undertake RAD at this AMP to perform extensive renovations to modernize and upgrade existing apartments/buildings/infrastructure/site.

4. Marino-Ruggiero Apartments

Work completed during past year

- Apartment Renovations
- Landscaping
- Retrofit Existing Bathrooms
- Asphalt Paving Repair
- Concrete Sidewalk Repair

Planned work for 2019/2020

- Landscaping
- Apartment Renovations
- Rear Entry Door Operators
- Cycle Painting Of Apartments
- Installation of Smoking Hut

Long-Term Plan

- The Utica Municipal Housing Authority intends to undertake RAD at this AMP to perform extensive renovations to modernize and upgrade existing apartments/buildings/infrastructure/site.

5. Perretta Twin Towers

Work completed during past year

- Apartment Renovations
- Landscaping
- Asphalt Paving Repair
- Concrete Sidewalk Repair

Planned work for 2019/2020

- Landscaping
- Apartment Renovations
- Cycle Painting Of Apartments
- Installation of Smoking Hut

Long-Term Plan

- The Utica Municipal Housing Authority intends to undertake RAD at this AMP to perform extensive renovations to modernize and upgrade existing apartments/buildings/infrastructure/site.

6. Chancellor Apartments

Work completed during past year

- Apartment Renovations
- Landscaping
- Asphalt Paving Repair
- Concrete Sidewalk Repair

Planned work for 2019/2020

- Landscaping
- Apartment Renovations
- Cycle Painting Of Apartments
- Retrofit Existing Bathrooms with a Handy-Cap Shower As Needed Basis
- Installation of Smoking Hut
- New Rear Doors and Canopies

7. 819 Hamilton Street

Work completed during past year

- Installation of Windows
- Landscaping

Planned work for 2019/2020

- Cycle Painting Of Apartments And Common Areas
- Apartment Renovations

Long-Term Plan

- The Utica Municipal Housing Authority intends to undertake RAD at this AMP to perform extensive renovations to modernize and upgrade existing apartments/buildings/infrastructure/site.

8. Duplex Apartments

Work completed during past year

- Roof Work

Planned work for 2019/2020

- Roof Work
- Apartment Renovations

Long-Term Plan

- The Utica Municipal Housing Authority intends to undertake RAD at this AMP to perform extensive renovations to modernize and upgrade existing apartments/buildings/infrastructure/site.

With reduced funding levels for the Public Housing Capital Program, the UMHA currently addresses primarily life-safety and emergency capital repairs with the funding it receives, and to a much lesser extent as in the past, the rehabilitation of antiquated apartment interiors, curb appeal improvements, and other urgent measures necessary to prevent major capital expenses. For these reasons, it is important that there is flexibility in our Capital Fund budgets as well as implementation of capital improvements.

Our primary focus areas include apartment turnaround involving capital improvement upgrades, and the renting of units to increase occupancy and revenue. Apartments are assessed at time of vacancy to determine need and if an apartment is deemed to be un-rentable in its current condition

by simply performing apartment preparation, a scope of work is developed and the rehab work is typically performed in house by our own Force Account Crew. The scope of work may vary widely based upon apartment conditions. We do not identify the specific apartments, buildings and specific scope of work in budgetary and planning documents. The CFP budgets are developed with estimated quantities and typical scopes of work at the time of budget preparation; however, we must be flexible and open to scope variations in carrying out the rehab work depending on need. Seldom does the work involve lead or asbestos remediation. Typically, encapsulation and interim control measures are performed. In order to control costs and ensure high quality work, the UMHA deploys its Force Account Labor Crew (internal forces) to accomplish capital improvements.

The UMHA is in the process of completing its energy performance contract. All work was completed by June 2018. Work items included air conditioning in senior/disabled buildings, window replacements, interior and exterior lighting, LED lights, water saving measures, refrigerator replacement, domestic hot water heaters, electric stove safety elements, and dryer replacements.

In FY 2019, the UMHA intends to develop the following projects using CFP funds:

- On-going renovation and upgrading of existing public housing units;
- Develop laundromat at N.D. Peters Manor, to reduce energy costs and prevent apartment damage;
- Complete energy performance contracts including windows at Marino-Ruggiero Apartments and 819 Hamilton Street;
- Installation of new generator at Perretta Twin Towers;
- Painting work and installation of new ramps at 819 Hamilton Street
- Other work as needed

HUD Form 50075.2 Capital Fund Program Five-Year Action Plan will be submitted to HUD for approval as part of this annual plan submission.

The UMHA intends to apply to the Public Housing Preservation Program (PHP) for modernization of state and federal public housing properties. PHP is a partnership among HCR, HUD, Federal Public Housing Authorities (PHAs) outside New York City, and private for profit and non-profit developers to address physical needs and assist PHAs to plan for the long-term sustainability. This is the first public housing preservation capital program to work with HUD's Rental Assistance Program (RAD) for public housing properties. This funding would be combined with 4 and 9% Low Income Housing Tax Credits and other sources. The UMHA would submit a mixed finance proposal to HUD to secure approval for the modernization activities.

By the end of 2019, the UMHA will have completed its energy performance contracts. The UMHA will continue to seek funds to install energy improvements.

In FY 2017, the UMHA will face serious challenges in financing public repairs and renovation. The continued steep cuts in the CFP program will make it more difficult for the UMHA to complete apartment renovations and address long-term maintenance needs. The UMHA will explore alternative financing tools to modernize its public housing stock so it can compete effectively with new affordable housing developments planned for our area.

The UMHA has submitted a portfolio-wide application to convert its Section 9 ACC properties to Section 8 Rental Assistance developments. The housing authority will likely use its CFP allocations as a funding source for rehabilitation of properties through the RAD conversion process. With the completion of the RAD conversion process, the UMHA will no longer receive CFP funding for LIPH units converted to RAD.

Please see the end of this document for the listing of attachments in reference to the CFP and RHF program

WORK ITEMS FUNDED BY CAPITAL PROGRAM

The following is a summary of the types of improvements funded by the Capital Fund Program:

1. Site improvements such as landscaping, sidewalk replacement, parking lot improvements and exterior lighting. The site improvements are specific to AMP'S 1P, 3P, 4P and 14P.
2. Apartment renovations including kitchen upgrades, bathroom upgrades electrical upgrades, plumbing upgrades, new flooring, interior and exterior doors, trim and appliances. The apartment renovations are anticipated to occur in AMP 1P, buildings 1 through 22 excluding 19 at Adrean Terrace, FX Matts, Buildings A, D, E, G, H and J, ND Peters Manor, Buildings A, B, C, D, E, and G. In AMP 3P, Gillmore Village, Buildings A, B, C, D and E buildings and Humphrey Gardens, Buildings A, B and C and finally AMP 4P, A and B Tower at Perretta Twin Towers and 415 Bleecker Street.

At AMP 1, 11 apartments are in the budget to be renovated. At AMP 3 a total of 5 apartments are budgeted to be renovated. At AMP 4, a total of 2 apartments are budgeted to be renovated. At AMP 2, 1 apartment is budgeted to be renovated and at AMP 14, 1 apartment is budgeted to be renovated.

- a. Kitchen upgrades typically consists of the installation of new kitchen cabinets, countertops, sink, faucet, strainer, P-trap, shutoff valves and supply lines.
- b. Bathroom upgrades typically consist of the installation of a new vanity sink faucet, P-trap, shutoff valve and supply lines. New tub/shower walls and a new tub/shower valve.
- c. Electrical upgrades typically consist of the installation of a new phone, cable and internet connectivity lines, new lighting and additional outlets and switches.

- d. Plumbing upgrades typically consist of the installation of a new washing machine boxes to accommodate washers, running of new supply and drain lines to accommodate new kitchen layouts.
 - e. New flooring typically consists of the installation of a loose laid vinyl product that is installed over the existing VCT tile floor.
 - f. All interior doors are typically replaced with a solid core 6-panel Masonite door and exterior doors are typically replaced with a fiberglass door unit pre-hung in a heavy-duty metal frame.
 - g. Trim is a standard wood base and window and door trim or a vinyl rubber base with standard wood window and door trim.
 - h. Appliances replacement consists of the replacement of an Energy Star refrigerator with a new Energy Star refrigerator and replacement of gas and electric ranges with new. Whenever new kitchen cabinets are installed at the family sites, the kitchens are designed to accommodate a 30” range to replace a 20” or 24” range.
3. Appliances. Energy Star rated refrigerators are purchased and installed on an as needed basis to replace existing Energy Star rated refrigerators that have fail and repair is deemed not feasible.. New gas and electric ranges are also purchased on an as needed basis to and installed when the existing ranges fail and repair is deemed not feasible. In addition, whenever new kitchen cabinets are installed at the family sites, the kitchens are designed to accommodate a larger 30” range to replace the smaller 20” or 24” range.

At AMP 1, 9 refrigerators and 32 ranges are in the budget to be replaced. At AMP 3, 4 refrigerators and 18 ranges are in the budget to be replaced. At AMP 4, 5 refrigerators and 5 ranges are in the budget to be replaced. At AMP 14, 1 refrigerator and 1 range are in the budget to be replaced.

- 4. Front and rear common hallway improvements at AMP 1 including Adrean Terrace, Buildings 1 through 22 excluding 19 at Adrean Terrace, FX Matts, Buildings A, D, E, G, H and J and ND Peters Manor, Buildings A, B, C, D, E, and G. Also, hallway improvements to be completed at AMP 14, 819 Hamilton Street.
- 5. Exterior Porches and rails at AMP 3P, In AMP 3P, Gillmore Village, Buildings A, B, C, D and E buildings and Humphrey Gardens, Buildings A, B and C. At AMP 1P the exterior porch and rail work includes buildings 1 through 22 excluding 19 at Adrean Terrace, FX Matts, Buildings A, D, E, G, H and J, ND Peters Manor, Buildings A, B, C, D, E, and G. Lastly, porch and rail work is also anticipated to occur in the front entrance of AMP 14, 819 Hamilton Street.

Rails and porches are evaluated after the winter season each year to determine conditions from frost, heaving, plows and normal wear and tear and the very worst porches and rails are designated for replacement at AMP’s 1 and 3. Due to reduced funding levels this work must be completed incrementally. The funding is evaluated each year to determine the extent of the porch and/or rail replacement.

6. Exterior Siding at AMP 3 Buildings A, B, C, D and E buildings and Humphrey Gardens, Buildings A, B and C. At AMP 1P the exterior siding work includes buildings 1 through 22 excluding 19 at Adrean Terrace, FX Matts, Buildings A, D, E, G, H and J, ND Peters Manor, Buildings A, B, C, D, E, and G.

Due to the poor condition of much of the existing trim and siding at the AMP's identified above, the UMHA would like to replace the existing with new. The exterior vinyl siding and aluminum trim repair work at AMP 1P and 3P has been included in our annual plan for a period of several years, however, due to reduced funding and more urgent and important issues that arise each year the Housing Authority has only been able to accomplish this work in small increments. It is included once again in the annual plan with the intent of completing this work.

7. Exterior Doors/Hardware and storm doors at AMP 1P includes buildings 1 through 22 excluding 19 at Adrean Terrace, FX Matts, Buildings A, D, E, G, H and J, ND Peters Manor, Buildings A, B, C, D, E, and G. At AMP 3P the exterior door/hardware and storm door work includes buildings A, B, C, D and E buildings and Humphrey Gardens, Buildings A, B and C. In addition, the entry door in A and B Tower of Perretta Twin Towers is scheduled to be replaced.

At AMP 1, the interior rear door hallways leading to the second level apartments at Adrean Terrace have only a screen door installed in the door opening allowing the elements to pass into the building hallways. Due to the reduced funding levels, the doors will be replaced in increments each year until all the doors are completed. In addition, entry doors and storm doors are replaced as needed due to the inoperability of the existing doors at AMP's 1 and 3. Also, due to the poor condition of the existing secure rear entry door in "B" Tower of Perretta Twin Towers, the door will be replaced with a new door.

8. Cycle Painting at AMP 1 includes select apartments in buildings 1 through 22 at Adrean Terrace, FX Matts, Buildings A, D, E, G, H and J and at ND Peters Manor, Buildings A, B, C, D, E, G and J. At AMP 3P, the painting work includes buildings A, B, C, D and E buildings and Humphrey Gardens, Buildings A, B and C. In addition, AMP 4, A & B Tower of Perretta Twin Towers and Marino-Ruggiero are scheduled to be painted.

For cycle painting, apartments are assessed at time of vacancy to determine need and if an apartment is deemed to require extra-ordinary measures to comply with the minimum standards required by the REAC code known as the Uniform Physical Conditions Standards (UPCS), then the apartment is placed on Capital Fund Modernization and the apartments are painted as part of the rehab by our Force Account crew. The scope of work may vary widely based upon apartment condition. We do not identify the specific apartments, buildings and specific scope of work ahead of time. The CFP budgets is developed with estimated quantities and typical scopes of work at the time of budget preparation however the Housing Authority is flexible and open to scope variations in carrying out the rehab work depending on need. In addition, if the Housing Authority upon

inspecting an apartment discovers peeling paint or mold and mildew issues or a work order is called in same, this work is typically completed by our Force Account utilizing safe work practices and interim control measures to remedy the issues.

At AMP 1, 62 apartments are in the budget to be painted. At AMP 3 a total of 52 apartments are budgeted to be painted. At AMP 4, a total of 30 apartments are budgeted to be painted. At AMP 2, 4 apartments are budgeted to be painted and at AMP 14, 2 apartments are budgeted to be painted.

9. Re-pointing and repairs of Exterior Masonry Surfaces at scheduled to occur at AMP 1 includes buildings 1 through 22 at Adrean Terrace, FX Matts, Buildings A, D, E, G, H and J and at ND Peters Manor, Buildings A, B, C, D, E, G and J. At AMP 3P, the painting work includes buildings A, B, C, D and E buildings.

The buildings will be assessed for necessary repairs, bad grout joints/brick will be removed and replaced with new.

10. Dryer vents and exhaust vents are to be installed in select apartments based on need in AMP 3 Buildings A, B, C, D and E buildings and Humphrey Gardens, Buildings A, B and C. At AMP 1P the exterior siding work includes buildings 1 through 22 excluding 19 at Adrean Terrace, FX Matts, Buildings A, D, E, G, H and J, ND Peters Manor, Buildings A, B, C, D, E, and G.

Venting has been installed in many of the apartments of the buildings identified above based on need. As apartments are turned over the venting needs within the apartment are re-assessed and if venting is required based on need, new vents are installed. If a new resident has a dryer that requires venting, and the apartment lacks a dryer vent, a vent is installed in the apartment to meet the code requirements of the City of Utica. Exhaust vents may also be installed to alleviate a condensation or a mold and mildew issue in an apartment. Apartments are selected based on an as needed basis.

11. Office and Community Building Improvements needs at AMP1, 3 and 4 are constantly re-evaluated and work completed based on need. Each year needs arise that require attention. At AMP 1, Vega Center requires new entry doors that allow accessibility to residents with limited mobility. At AMP 3, the Computer Lab/Community building at Gillmore Village requires a new rear entry door and the handicap accessible ramp needs extensive work. The Community room bathrooms At AMP 4, at Perretta Twin Towers and Marino-Ruggiero require upgrades to make them more accessible to the handicap.
12. Office improvements at AMP 1, building 19 are required to secure against public access without prior authorization into office space/staff. At AMP 3, Gillmore Village, Building B, office bathroom is in need of upgrades and new entry doors are required at all three sites, Amp 1, building 19 at AMP3, Building B at Gillmore Village and Building B at Humphrey Gardens.

13. Maintenance shop improvements at AMP 1, Building 20 include additional shelving, lighting and cages to secure inventory and tools.
14. Security Access Upgrades in office, community room and common areas of AMP's 1, 3 and 14

CFP ATTACHMENTS

Performance and Evaluation Reports through June 30, 2019

FY2020 Annual Statement CFP
FY 2020 Five Year Plan CFP FY 2020
NY06P006501-16 (CFP FY2016),
NY06P006501-17 (CFP FY2017),
NY06P006501-18 (CFP FY2018)
NY06P006501-19 (CFP FY2019)
NY06L006501-17 Lead Based Paint Grant AMP 1 2017
