

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

MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA

PHA Plans

5 Year Plan for Fiscal Years 2000 - 2004
Annual Plan for Fiscal Year 2001

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN
ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

**PHA Plan
Agency Identification**

PHA Name: Municipal Housing Authority of the City of Utica

PHA Number: NY006

PHA Fiscal Year Beginning: (mm/yyyy) 07/01/2001

Public Access to Information

Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices

Display Locations For PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices
- Main administrative office of the local government
- Main administrative office of the County government
- Main administrative office of the State government
- Public library
- PHA website
- Other (list below)

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- Main business office of the PHA
- PHA development management offices
- Other (list below)

5-YEAR PLAN
PHA FISCAL YEARS 2000 - 2004
[24 CFR Part 903.5]

A. 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. (select one of the choices below)

- The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.
- The PHA's mission is: (state mission here)

THE MISSION OF THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA IS TO FURNISH THE UTICA AREA WITH DECENT AND AFFORDABLE HOUSING. OUR PRIORITY IS TO PROVIDE AND MAINTAIN SAFE, SANITARY AND QUALITY HOUSING WITHOUT DISCRIMINATION

B. Goals

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, **PHAS ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS.** (Quantifiable measures would include targets such as: numbers of families served or PHAS scores achieved.) PHAs should identify these measures in the spaces to the right of or below the stated objectives.

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

- PHA Goal: Expand the supply of assisted housing
Objectives:
- Apply for additional rental vouchers:
 - Reduce public housing vacancies:
 - Leverage private or other public funds to create additional housing opportunities:
 - Acquire or build units or developments
 - Other (list below)
- PHA Goal: Improve the quality of assisted housing
Objectives:
- Improve public housing management: (PHAS score)
 - Improve voucher management: (SEMAP score)
 - Increase customer satisfaction:

- Concentrate on efforts to improve specific management functions:
(list; e.g., public housing finance; voucher unit inspections)
- Renovate or modernize public housing units:
- Demolish or dispose of obsolete public housing:
- Provide replacement public housing:
- Provide replacement vouchers:
- Other: (list below)

PHA Goal: Increase assisted housing choices

Objectives:

- Provide voucher mobility counseling:
- Conduct outreach efforts to potential voucher landlords
- Increase voucher payment standards
- Implement voucher homeownership program:
- Implement public housing or other homeownership programs:
- Implement public housing site-based waiting lists:
- Convert public housing to vouchers:
- Other: (list below)

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

PHA Goal: Provide an improved living environment

Objectives:

- Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
- Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
- Implement public housing security improvements:
- Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
- Other: (list below)

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

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

Objectives:

- Increase the number and percentage of employed persons in assisted families:

- Provide or attract supportive services to improve assistance recipients' employability:
- Provide or attract supportive services to increase independence for the elderly or families with disabilities.
- Other: (list below)

HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans

- PHA Goal: Ensure equal opportunity and affirmatively further fair housing
Objectives:
 - Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:
 - Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:
 - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
 - Other: (list below)

Other PHA Goals and Objectives: (list below)

GOAL: MANAGE THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S PUBLIC HOUSING PROGRAM IN AN EFFICIENT AND EFFECTIVE MANNER

Objectives:

- 1. HUD shall recognize the Municipal Housing Authority of the City of Utica as a standard performer under PHAS for our fiscal year ending June 30, 2001.**
- 2. HUD shall recognize the Municipal Housing Authority of the City of Utica as a high performer under PHAS for our fiscal year ending June 30, 2002 and each year thereafter.**
- 3. The Municipal Housing Authority of the City of Utica shall promote a motivating work environment with a capable and efficient team of employees to operate as a customer-friendly and fiscally prudent leader in the affordable housing industry. This will be accomplished through leadership and program training, employee and program evaluations.**

GOAL: EXPAND THE RANGE AND QUALITY OF HOUSING CHOICES AVAILABLE TO PARTICIPATE IN OUR TENANT-BASED RENT SUBSIDY PROGRAM

Objectives:

- 1. The Municipal Housing Authority of the City of Utica shall maintain a utilization rate of ninety-five (95%) percent in its tenant-based program through June 30, 2005.**
- 2. The Municipal Housing Authority of the City of Utica shall attract ten (10) new landlords who want to participate in the tenant-based assistance program. This objective will be accomplished by June 30, 2005.**

GOAL: MANAGE THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S TENANT-BASED RENT SUBSIDY PROGRAMS IN AN EFFICIENT AND EFFECTIVE MANNER

Objectives:

- 1. HUD shall recognize the Municipal Housing Authority of the City of Utica as a standard performer under SEMAP for our fiscal year ending June 30, 2001.**
- 2. HUD shall recognize the Municipal Housing Authority of the City of Utica as a high performer under SEMAP for our fiscal year ending June 30, 2002 and each year thereafter.**

GOAL: MAINTAIN THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S PROPERTIES IN A DECENT CONDITION

Objective:

- 1. The Municipal Housing Authority of the City of Utica will deliver timely and high quality maintenance services to the residents. This is an on-going objective.**
- 2. The Municipal Housing Authority of the City of Utica will maintain an appealing, up to date environment it its developments. This is an on-going objective.**

GOAL: ENHANCE THE MARKETABILITY OF THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA PUBLIC HOUSING UNITS

Objectives:

1. The Municipal Housing Authority of the City of Utica shall achieve a level of customer satisfaction in this element of the Customer Satisfaction Assessment System for the fiscal year ending 30, 2005.
2. The Municipal Housing Authority of the City of Utica shall

GOAL: IMPROVE ACCESS OF SERVICES THAT IMPROVE THE QUALITY OF LIFE FOR PUBLIC HOUSING RESIDENTS TO ECONOMIC OPPORTUNITY AND QUALITY OF LIFE

Objectives:

1. The Municipal Housing Authority of the City of Utica shall increase the number of public housing units in strategic areas of the city that will be eligible for the HOME program by June 30, 2005.

GOAL: PROVIDE A SAFE AND HEALTHY ENVIRONMENT FOR THE PUBLIC HOUSING RESIDENTS OF UTICA'S PUBLIC HOUSING UNITS

Objectives:

1. The Municipal Housing Authority of the City of Utica shall reduce crime in its public housing developments. This is an objective of the City of Utica's Public Housing Program.

Annual PHA Plan
PHA Fiscal Year 2001
[24 CFR Part 903.7]

i. Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

Standard Plan

Streamlined Plan:

- High Performing PHA**
- Small Agency (<250 Public Housing Units)**
- Administering Section 8 Only**

Troubled Agency Plan

ii. Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 (r)]

Provide a brief overview of the information in the Annual Plan, including highlights of major initiatives and discretionary policies the PHA has included in the Annual Plan.

The Municipal Housing Authority of the City of Utica has prepared this Agency Plan in compliance with Section 511 of the Quality Housing and Work Responsibility Act of 1998 and the ensuing HUD requirements.

We have adopted the following mission statement to guide the activities of the Municipal Housing Authority of the City of Utica.

THE MISSION OF THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA IS TO FURNISH THE UTICA AREA WITH DECENT AND AFFORDABLE HOUSING. OUR PRIORITY IS TO PROVIDE AND MAINTAIN SAFE, SANITARY AND QUALITY HOUSING WITHOUT DISCRIMINATION

We have adopted the following HUD goals and objectives for the next five years.

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

PHA Goal: Expand the supply of assisted housing

Objectives:

Apply for additional rental vouchers:

- Reduce public housing vacancies:
- Leverage private or other public funds to create additional housing opportunities:
- Acquire or build units or developments

- PHA Goal: Improve the quality of assisted housing
Objectives:
 - Concentrate on efforts to improve specific management functions: (list; e.g., public housing finance; voucher unit inspections)
 - Renovate or modernize public housing units:
 - Demolish or dispose of obsolete public housing:
 - Provide replacement public housing:
 - Provide replacement vouchers:

- PHA Goal: Increase assisted housing choices
Objectives:
 - Provide voucher mobility counseling:
 - Conduct outreach efforts to potential voucher landlords
 - Increase voucher payment standards
 - Implement public housing or other homeownership programs:
 - Implement public housing site-based waiting lists:

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

- PHA Goal: Provide an improved living environment
Objectives:
 - Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
 - Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
 - Implement public housing security improvements:

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

- PHA Goal: Promote self-sufficiency and asset development of assisted households
Objectives:
 - Increase the number and percentage of employed persons in assisted families:
 - Provide or attract supportive services to improve assistance recipients' employability:

We have also adopted the following goals and objectives for the next five years.

GOAL: MANAGE THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S PUBLIC HOUSING PROGRAM IN AN EFFICIENT AND EFFECTIVE MANNER

Objectives:

- 1. HUD shall recognize the Municipal Housing Authority of the City of Utica as a standard performer under PHAS for our fiscal year ending June 30, 2001.**
- 2. HUD shall recognize the Municipal Housing Authority of the City of Utica as a high performer under PHAS for our fiscal year ending June 30, 2002 and each year thereafter.**
- 3. The Municipal Housing Authority of the City of Utica shall promote a motivating work environment with a capable and efficient team of employees to operate as a customer-friendly and fiscally prudent leader in the affordable housing industry. This will be accomplished through leadership and program training, employee and program evaluations.**

GOAL: EXPAND THE RANGE AND QUALITY OF HOUSING CHOICES AVAILABLE TO PARTICIPATE IN OUR TENANT-BASED RENT SUBSIDY PROGRAM

Objectives:

- 1. The Municipal Housing Authority of the City of Utica shall maintain a utilization rate of ninety-five (95%) percent in its tenant-based program through June 30, 2005.**
- 2. The Municipal Housing Authority of the City of Utica shall attract ten (10) new landlords who want to participate in the tenant-based assistance program. This objective will be accomplished by June 30, 2005.**

GOAL: MANAGE THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S TENANT-BASED RENT SUBSIDY PROGRAMS IN AN EFFICIENT AND EFFECTIVE MANNER

Objectives:

1. the City of Utica as a standard performer under SEMAP for our fiscal year ending June 30, 2001.
2. HUD shall recognize the Municipal Housing Authority of the City of Utica as a high performer under SEMAP for our fiscal year ending June 30, 2002 and each year thereafter.

GOAL: MAINTAIN THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S PROPERTIES IN A DECENT CONDITION

Objective:

1. The Municipal Housing Authority of the City of Utica will deliver timely and high quality maintenance services to the residents. This is an on-going objective.
2. The Municipal Housing Authority of the City of Utica will maintain an appealing, up to date environment it its developments. This is an on-going objective.
3. The Municipal Housing Authority of the City of Utica shall implement and maintain a policy for the eradication and prevention of pest infestation (including cockroach infestation). This objective will be accomplished by June 30, 2001.

GOAL: ENHANCE THE MARKETABILITY OF THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S PUBLIC HOUSING UNITS

Objectives:

1. The Municipal Housing Authority of the City of Utica shall achieve a level of customer satisfaction that gives the agency the highest score possible in this element of the Public Housing Assessment System for the Fiscal Year ending June 30, 2005.
2. The Municipal Housing Authority of the City of Utica shall achieve proper curb appeal for its public housing developments by adequately landscaping, keeping its grass cut, making the

properties litter-free and other actions. This is an on-going objective.

GOAL: IMPROVE ACCESS OF PUBLIC HOUSING RESIDENTS TO SERVICES THAT SUPPORT ECONOMIC OPPORTUNITY AND QUALITY OF LIFE

Objectives:

- 1. The Municipal Housing Authority of the City of Utica shall assist its resident organizations in strengthening their capacity and effectiveness. This objective will be accomplished by June 30, 2005.**

GOAL: PROVIDE SAFE AND SECURE ENVIRONMENT IN THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S PUBLIC HOUSING DEVELOPMENTS

Objective:

- 1. The Municipal Housing Authority of the City of Utica shall reduce crime in its developments. This is an on-going objective.**

Our Annual Plan is based on the premise that if we accomplish our goals and objectives we will be working towards the achievement of our mission.

The plans, statements, budget summary, policies, etc. set forth in the Annual Plan all lead towards the accomplishment of our goals and objectives. Taken as a whole, they outline a comprehensive approach towards our goals and objectives and are consistent with the Consolidated Plan for the State of New York. The following are a few highlights of our Annual Plan.

- We have adopted an aggressive screening policy for public housing to ensure to the best of our ability that new admissions will be good neighbors. In our Section 8 program, we are screening applicants to the fullest extent allowable while not taking away the ultimate responsibility from the landlord. Our screening practices meet all fair housing requirements.
- We have adopted a Deconcentration Policy.
- We have established a minimum rent of \$50 for our public housing and Section 8 program.

- We have established flat rents for all of our public housing developments.
- Our Interim Reexamination policy does not require families to report any increase in earned income, decreases in allowable expenses, or changes in the family composition that would result in an increase in the Total Tenant Payment between regular reexamination.
- We are utilizing the published Fair Market Rents as our payment standard for the Section 8 program.

Summary of Program Changes

During this past year we have made numerous changes to our policies and/or programs based on changes in statutes and/or HUD regulations that have occurred in the past year. HUD mandated all of these.

- Updated our public housing Admissions and Continued Occupancy Policy
- Updated our public housing Dwelling Lease
- Updated our public housing Grievance Procedures
- Adopted a policy governing pet ownership in public housing family units and updated our policy governing pet ownership in public housing units and buildings designated for occupancy by elderly and disabled individuals and families
- Updated our Section 8 Administrative Plan

In summary, we are on course to improve the condition of affordable housing in the City of Utica, New York.

iii. Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection.

Table of Contents

	<u>Page #</u>
Annual Plan	
i. Executive Summary	1
ii. Table of Contents	6
1. Housing Needs	11
2. Financial Resources	25
3. Policies on Eligibility, Selection and Admissions	26
4. Rent Determination Policies	45

5. Operations and Management Policies	49
6. Grievance Procedures	51
7. Capital Improvement Needs	52
8. Demolition and Disposition	54
9. Designation of Housing	56
10. Conversions of Public Housing	57
11. Homeownership	59
12. Community Service Programs	60
13. Crime and Safety	63
14. Pets (Inactive for January 1 PHAs)	66
15. Civil Rights Certifications (included with PHA Plan Certifications)	66
16. Audit	66
17. Asset Management	66
18. Other Information	67

Attachments

Indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a **SEPARATE** file submission from the PHA Plans file, provide the file name in parentheses in the space to the right of the title.

Required Attachments:

- Admissions Policy for Deconcentration (ny006a01)
- FY 2001 Capital Fund Program Annual Statement (ny006b01)
- Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

Optional Attachments:

- PHA Management Organizational Chart (Attachment ny006k01)
- FY 2000 Capital Fund Program 5 Year Action Plan (ny006c01)
- Public Housing Drug Elimination Program (PHDEP) Plan (ny006d01)
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)

Attachment ny006o01 – Municipal Housing Authority of the City of Utica
Resident Advisory Board Comments and Housing Authority Response

- Other (List below, providing each attachment name)

Attachment ny006e01- Municipal Housing Authority of the City of Utica
Substantial Deviation Definition

Attachment ny006f01 – Municipal Housing Authority of the City of Utica Pet
Policy Statement

Attachment ny006g01 – Municipal Housing Authority of the City of Utica
Community Service Implementation Statement

Attachment ny006h01 – Municipal Housing Authority of the City of Utica
Statement of Progress in Meeting Goals and Objectives

Attachment ny006i01 – Municipal Housing Authority of the City of Utica
Resident Board Members

Attachment ny006j01 – Municipal Housing Authority of the City of Utica List
of Resident Advisory Board Members

Attachment ny006k01 – Municipal Housing Authority of the City of Utica
Organization Chart

Attachment ny006l01 – Municipal Housing Authority of the City of Utica
Capital Fund Program Replacement Housing Factor

Attachment ny006m01 – Municipal Housing Authority of the City of Utica
Capital Fund Program P & E Report 98 PE 12312000

Attachment ny006n01 – Municipal Housing Authority of the City of Utica
Deconcentration and Income Mixing

Attachment ny006o01 – Municipal Housing Authority of the City of Utica
Resident Comments and Housing Authority Response

Attachment ny006p01 – Municipal Housing Authority of the City of Utica
Capital Fund Program P & E Report 98PT1 PE 12312000

Attachment ny006q01 – Municipal Housing Authority of the City of Utica
Capital Fund Program P & E Report 99 PE 12312000

Attachment ny006r01 – Municipal Housing Authority of the City of Utica
Capital Fund Program P & E Report 99-2 PE 12312000

Attachment ny006s01 – Municipal Housing Authority of the City of Utica
Capital Fund Program 99-2 PT1 PE 12312000

Attachment ny006t01 – Municipal Housing Authority of the City of Utica
Capital Fund Program 99 PT1 PE 12312000

Supporting Documents Available for Review

Indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions’ initiatives to affirmatively further fair housing that require the PHA’s involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development	Annual Plan: Rent Determination

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	<input type="checkbox"/> check here if included in the public housing A & O Policy	
X	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
X	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
NA	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
X	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
NA	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
X	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
NA	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
NA	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
NA	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
NA	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
X	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
X	The most recent Public Housing Drug Elimination Program (PHEDEP) semi-annual performance report for any open	Annual Plan: Safety and Crime Prevention

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	grant and most recently submitted PHDEP application (PHDEP Plan)	
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
NA	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
NA	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall" Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being "no impact" and 5 being "severe impact." Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford- ability	Supply	Quality	Access- ibility	Size	Loca- tion
Income <= 30% of AMI	5,750	3	3	5	4	2	4
Income >30% but <=50% of AMI	3,640	3	2	4	4	3	4
Income >50% but <80% of AMI	2,383	2	2	4	4	4	4
Elderly	3,311	2	1	2	1	3	1
Families with Disabilities	NA						
Race/Ethnicity-Black	5,750	3	3	4	4	3	4
Race/Ethnicity-Hispanic	581	3	3	4	4	3	4

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ibility	Size	Loca-tion
Race/Ethnicity- Native American	150	3	3	4	4	3	4
Race/Ethnicity- Asian/Pacific Is.	256	3	3	4	4	3	4

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- Consolidated Plan of the Jurisdiction/s
Indicate year:
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data
Indicate year:
- Other housing market study
Indicate year:
- Other sources: (list and indicate year of information)

B. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists

State the housing needs of the families on the PHA’s waiting list/s. **Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/>	Section 8 tenant-based assistance		
<input checked="" 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/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	68		110 units
Extremely low income <=30% AMI	7	10.29%	

Housing Needs of Families on the Waiting List			
Very low income (>30% but <=50% AMI)	57	80.88%	
Low income (>50% but <80% AMI)	7	8.82%	
Families with children	31	45.57%	
Elderly families	2	2.94%	
Families with Disabilities	2	2.94%	
Race/ethnicity- White	43	63.23%	
Race/ethnicity- Black	24	35.29%	
Race/ethnicity- Hispanic	11	16.17%	
Race/ethnicity- Asian/Pacific Is.	1	1%	
Characteristics by Bedroom Size (Public Housing Only)			
0BR	1	1%	0 units
1 BR	37	54.41%	38 units
2 BR	15	22.05%	14 units
3BR	12	17.64%	12 units
4 BR	4	5.88%	2 units
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
--

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/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	95		15 vouchers
Extremely low income <=30% AMI	5	5.26%	
Very low income (>30% but <=50% AMI)	90	94.73%	
Low income (>50% but <80% AMI)	-0-	-0-	
Families with children	56	58.9%	
Elderly families	13	13.6%	
Families with Disabilities	26	27.36%	
Race/ethnicity – White	68	71.57%	
Race/ethnicity – Black	27	28.42%	
Race/ethnicity – Hispanic	13	13.68%	
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)	NA	NA	NA
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			

Housing Needs of Families on the Waiting List

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

C. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list **IN THE UPCOMING YEAR**, and the Agency's reasons for choosing this strategy.

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

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

Select all that apply

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- Reduce turnover time for vacated public housing units
- Reduce time to renovate public housing units
- Seek replacement of public housing units lost to the inventory through mixed finance development
- Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)

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

Select all that apply

- Apply for additional section 8 units should they become available
- Leverage affordable housing resources in the community through the creation of mixed - finance housing
- Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- Other: (list below)

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

Strategy 1: Target available assistance to families at or below 30 % of AMI

Select all that apply

- Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance
- Employ admissions preferences aimed at families with economic hardships
- Adopt rent policies to support and encourage work
- Other: (list below)

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

Strategy 1: Target available assistance to families at or below 50% of AMI

Select all that apply

- Employ admissions preferences aimed at families who are working
- Adopt rent policies to support and encourage work
- Other: (list below)

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

- Seek designation of public housing for the elderly
- Apply for special-purpose vouchers targeted to the elderly, should they become available
- Other: (list below)

Eligible applicants are admitted to our Public Housing and Section 8 programs based on the date and time of application, and, for public housing, according to bedroom size required.

The following is an extract from our adopted Admissions and Continued Occupancy Policy

Families who are elderly, disabled, or displaced will be offered housing before other single persons.

Buildings Designed for the Elderly and Disabled: Preference will be given to elderly and disabled families. If there are no elderly or disabled families on the list, preference will then be given to near-elderly families. If there are no near-elderly families on the waiting list, units will be offered to families who qualify for the appropriate bedroom size using these priorities. All such families will be selected from the waiting list using the preferences as outlined above.

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- Affirmatively market to local non-profit agencies that assist families with disabilities
- Other: (list below)

The following is an extract from our adopted Admissions and Continued Occupancy Policy.

2.0 Reasonable Accommodation

Sometimes people with disabilities may need a reasonable accommodation in order to take full advantage of the Municipal Housing Authority of the City of Utica housing programs and related services. When such accommodations are granted, they do not confer special treatment or advantage for the person with a disability; rather, they make the program accessible to them in a way that would otherwise not be possible due to their disability. This policy clarifies how people can request accommodations and the guidelines the Municipal

Housing Authority of the City of Utica will follow in determining whether it is reasonable to provide a requested accommodation. Because disabilities are not always apparent, the Municipal Housing Authority of the City of Utica will ensure that all applicants/tenants are aware of the opportunity to request reasonable accommodations.

2.1 Communication

Anyone requesting an application will also receive a Request for Reasonable Accommodation form.

Notifications of reexamination, inspection, appointment, or eviction will include information about requesting a reasonable accommodation. Any notification requesting action by the tenant will include information about requesting a reasonable accommodation.

All decisions granting or denying requests for reasonable accommodations will be in writing.

2.2 Questions to Ask in Granting the Accommodation

- A. Is the requestor a person with disabilities? For this purpose the definition of person with disabilities is different than the definition used for admission. The Fair Housing definition used for this purpose is:

A person with a physical or mental impairment that substantially limits one or more major life activities, has a record of such an impairment, or is regarded as having such an impairment. (The disability may not be apparent to others, i.e., a heart condition).

If the disability is apparent or already documented, the answer to this question is yes. It is possible that the disability for which the accommodation is being requested is a disability other than the apparent disability. If the disability is not apparent or documented, the Municipal Housing Authority of the City of Utica will obtain verification that the person is a person with a disability.

- B. Is the requested accommodation related to the disability? If it is apparent that the request is related to the apparent or documented disability, the answer to this question is yes. If it is not apparent, the Municipal Housing Authority of the City of Utica will obtain documentation that the requested accommodation is needed due to the

disability. The Municipal Housing Authority of the City of Utica will not inquire as to the nature of the disability.

- C. Is the requested accommodation reasonable? In order to be determined reasonable, the accommodation must meet two criteria:
1. Would the accommodation constitute a fundamental alteration? The Municipal Housing Authority of the City of Utica's business is housing. If the request would alter the fundamental business that the Municipal Housing Authority of the City of Utica conducts, that would not be reasonable. For instance, the Municipal Housing Authority of the City of Utica would deny a request to have the Municipal Housing Authority of the City of Utica do grocery shopping for a person with disabilities.
 2. Would the requested accommodation create an undue financial hardship or administrative burden? Frequently the requested accommodation costs little or nothing. If the cost would be an undue burden, the Municipal Housing Authority of the City of Utica may request a meeting with the individual to investigate and consider equally effective alternatives.
- D. Generally the individual knows best what it is they need; however, the Municipal Housing Authority of the City of Utica retains the right to be shown how the requested accommodation enables the individual to access or use the Municipal Housing Authority of the City of Utica's programs or services.

If more than one accommodation is equally effective in providing access to the Municipal Housing Authority of the City of Utica's programs and services, the Municipal Housing Authority of the City of Utica retains the right to select the most efficient or economic choice.

The cost necessary to carry out approved requests, including requests for physical modifications, will be borne by the Municipal Housing Authority of the City of Utica if there is no one else willing to pay for the modifications. If another party pays for the modification, the Municipal Housing Authority of the City of Utica will seek to have the same entity pay for any restoration costs.

If the tenant requests as a reasonable accommodation that they be permitted to make physical modifications at their own expense, the Municipal Housing Authority of the City of Utica will generally approve such request if it does not violate codes or affect the structural integrity of the unit.

Any request for an accommodation that would enable a tenant to materially violate essential lease terms will not be approved, i.e. allowing nonpayment of rent, destruction of property, disturbing the peaceful enjoyment of others, etc.

Accessible Units: Accessible units will be first offered to families who may benefit from the accessible features. Applicants for these units will be selected utilizing the same preference system as outlined above. If there are no applicants who would benefit from the accessible features, the units will be offered to other applicants in the order that their names come to the top of the waiting list. Such applicants, however, must sign a release form stating they will accept a transfer (at their own expense) if, at a future time, a family requiring an accessible feature applies. Any family required to transfer will be given a 30-day notice.

We have the following policy for our Section 8 Program.

H. REASONABLE ACCOMMODATIONS POLICY [24 CFR 700.245(c)(3)]

It is the policy of this PHA to be service-directed in the administration of our housing programs, and to exercise and demonstrate a high level of professionalism while providing housing services to families.

A participant with a disability must first ask for a specific change to a policy or practice as an accommodation of their disability before the PHA will treat a person differently than anyone else. The PHA's policies and practices will be designed to provide assurances that persons with disabilities will be given reasonable accommodations, upon request, so that they may fully access and utilize the housing program and related services. The availability of requesting an accommodation will be made known by including notices on PHA forms and letters. This policy is intended to afford persons with disabilities an equal opportunity to obtain the same result, to gain the same benefit, or to reach the same level of achievement as those who do not have disabilities and is applicable to all situations described in this Administrative Plan including when a family initiates contact with the PHA, when the PHA initiates contact with a family including when a family applies, and when the PHA schedules or reschedules appointments of any kind.

To be eligible to request a reasonable accommodation, the requester must first certify (if apparent) or verify (if not apparent) that they are a person with a disability under the following ADA definition:

A physical or mental impairment that substantially limits one or more of the major life activities of an individual;

A record of such impairment; or

Being regarded as having such an impairment

Note: This is not the same as the HUD definition used for purposes of determining allowances.

Rehabilitated former drug users and alcoholics are covered under the ADA. However, a current drug user is not covered. In accordance with 5.403(a), individuals are not considered disabled for eligibility purposes solely on the basis of any drug or alcohol dependence. Individuals whose drug or alcohol addiction is a material factor to their disability are excluded from the definition. Individuals are considered disabled if disabling mental and physical limitations would persist if drug or alcohol abuse discontinued.

Once the person's status as a qualified person with a disability is confirmed, the PHA will require that a professional third party competent to make the assessment, provides written verification that the person needs the specific accommodation due to their disability and the change is required for them to have equal access to the housing program. If the PHA finds that the requested accommodation creates an undue administrative or financial burden, the PHA will either deny the request and/or present an alternate accommodation that will still meet the need of the person.

An undue administrative burden is one that requires a fundamental alteration of the essential functions of the PHA (i.e., waiving a family obligation).

An undue financial burden is one that when considering the available resources of the agency as a whole, the requested accommodation would pose a severe financial hardship on the PHA.

The PHA will provide a written decision to the person requesting the accommodation within **a reasonable time**. If a person is denied the accommodation or feels that the alternative suggestions are inadequate, they may request an informal hearing to review the PHA's decision.

Reasonable accommodation will be made for persons with a disability that requires an advocate or accessible offices. A designee will be allowed to provide some information, but only with the permission of the person with the disability.

All PHA mailings will be made available in an accessible format upon request, as a reasonable accommodation.

Verification of Disability

The PHA will verify disabilities under definitions in the Fair Housing Amendments Act of 1988, Section 504 of the 1973 Rehabilitation Act, and Americans with Disabilities Act.

Applying for Admission

All persons who wish to apply for any of the PHA’s programs must submit an application **in written format**, as indicated in our public notice. Applications will be made available in an accessible format upon request from a person with a disability.

To provide specific accommodation to persons with disabilities, upon request, the information may be mailed to the applicant and, if requested, it will be mailed in an accessible format.

The full application is completed at the eligibility appointment in the applicant’s own handwriting, unless assistance is needed, or a request for accommodation is requested by a person with a disability. Applicants will then be interviewed by PHA staff to review the information on the full application form. Verification of disability as it relates to 504, Fair Housing, or ADA reasonable accommodation will be requested at this time. The full application will also include questions asking all applications whether reasonable accommodations are necessary.

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

Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

Select if applicable

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- Other: (list below)

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

- Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- Market the section 8 program to owners outside of areas of poverty /minority concentrations
- Other: (list below)

The following is an extract from our adopted Admissions and Continued Occupancy Policy.

1.0 FAIR HOUSING

It is the policy of the Municipal Housing Authority of the City of Utica to fully comply with all Federal, State and local nondiscrimination laws; the Americans with Disabilities Act; and the U. S. Department of Housing and Urban Development regulations governing Fair Housing and Equal Opportunity. The Municipal Housing Authority of the City of Utica shall affirmatively further fair housing in the administration of its public housing program.

No person shall, on the grounds of race, color, sex, religion, national or ethnic origin, familial status, or disability be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under the Municipal Housing Authority of the City of Utica's programs.

To further its commitment to full compliance with applicable Civil Rights laws, the Municipal Housing Authority of the City of Utica will provide Federal/State/local information to applicants/tenants of the Public Housing Program regarding discrimination and any recourse available to them if they believe they may be victims of discrimination. Such information will be made available with the application, and all applicable Fair Housing Information and Discrimination Complaint Forms will be made available at the Municipal Housing Authority of the City of Utica office. In addition, all written information and advertisements will contain the appropriate Equal Opportunity language and logo.

The Municipal Housing Authority of the City of Utica will assist any family that believes they have suffered illegal discrimination by providing them copies of the appropriate housing discrimination forms. The Municipal Housing Authority of the City of Utica will also assist them in completing the forms if requested, and will provide them with the address of the nearest HUD office of Fair Housing and Equal Opportunity.

The following is our Fair Housing Policy governing our Section 8 Program.

G. FAIR HOUSING POLICY

It is the policy of the Housing Authority to comply fully with all Federal, State, and local nondiscrimination laws and with the rules and regulations governing Fair Housing and Equal Opportunity in housing and employment.

The Municipal Housing Authority shall not deny any family or individual the equal opportunity to apply for or receive assistance under the Section 8 Programs on the

basis of race, color, sex, religion, creed, national or ethnic origin, age, familial or marital status, handicap or disability or sexual orientation.

To further its commitment to full compliance with applicable Civil Rights laws, the Municipal Housing Authority of the City of Utica will provide Federal/State/local information to Voucher holders regarding unlawful discrimination and any recourse available to families who believe they are victims of a discriminatory act. Such information will be made available during the family briefing session, and all applicable Fair Housing Information and Discrimination Complaint Forms will be made a part of the Voucher holder's briefing packet and available upon request at the front desk.

All Housing Authority staff will be required to attend fair housing training and informed of the importance of affirmatively furthering fair housing and providing equal opportunity to all families, including providing reasonable accommodations to persons with disabilities, as a part of the overall commitment to quality customer service. Fair Housing posters are posted throughout the Housing Authority offices, including in the lobby and interview rooms and the equal opportunity logo will be used on all outreach materials. Staff will attend local fair housing update training sponsored by HUD and other local organization to keep current with new developments.

Except as otherwise provided in 24CFR8.21©(1), 8.24(a), 8.25, and 8.31, no individual with disabilities shall be denied the benefits of, be excluded from participation in, or otherwise be subjected to discrimination because the Housing Authority's facilities are inaccessible to or unusable by persons with disabilities. Posters and housing information are displayed in locations throughout the Housing Authority's office in such a manner as to be easily readable from a wheelchair.

The Municipal Housing Authority of the City of Utica offices are accessible to persons with disabilities. Accessibility for the hearing impaired is provided by the telephone service provider.

Other Housing Needs & Strategies: (list needs and strategies below)

(2) Reasons for Selecting Strategies

Of the factors listed below, select all that influenced the PHA's selection of the strategies it will pursue:

- Funding constraints
- Staffing constraints
- Limited availability of sites for assisted housing

- Extent to which particular housing needs are met by other organizations in the community
- Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- Influence of the housing market on PHA programs
- Community priorities regarding housing assistance
- Results of consultation with local or state government
- Results of consultation with residents and the Resident Advisory Board
- Results of consultation with advocacy groups
- Other: (list below)

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2000 grants)		
a) Public Housing Operating Fund	2,142,635	
b) Public Housing Capital Fund	2,610,832	
c) HOPE VI Revitalization	0	
d) HOPE VI Demolition	0	
e) Annual Contributions for Section 8 Tenant-Based Assistance	4,891,064	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	226,243	
g) Resident Opportunity and Self-Sufficiency Grants	150,000	
h) Community Development Block Grant	0	
i) HOME	0	
Other Federal Grants (list below)		
Juvenile Justice Drug Prevention Grant	85,000	Resident Services

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
2. Prior Year Federal Grants (unobligated funds only) (list below)		
3. Public Housing Dwelling Rental Income	2,167,320	P H Operations
4. Other income (list below)		
Interest on General Fund Investments	195,000	P H Operations
4. Non-federal sources (list below)		
Oneida Co. Work Force Development		
Welfare To Work Funds	50,000	Resident Services
Total resources	12,518,094	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent 3A.

(1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- When families are within a certain number of being offered a unit: (state number)
- When families are within a certain time of being offered a unit: (state time)
- Other: (describe)

The following are extracts from our adopted Admissions and Continued Occupancy Policy.

The application process will involve two phases. The first phase is the initial application for housing assistance or the pre-application. The pre-application requires the family to provide limited basic information establishing any preferences to which they may be entitled. This first phase results in the family's placement on the waiting list.

Upon receipt of the family's pre-application, the Municipal Housing Authority of the City of Utica will make a preliminary determination of eligibility. The Municipal Housing Authority of the City of Utica will notify the family in writing of the date and time of placement on the waiting list, and the approximate wait before housing may be offered. If the Municipal Housing Authority of the City of Utica determines the family to be ineligible, the notice will state the reasons therefore and will offer the family the opportunity of an informal review of the determination.

The applicant may at any time report changes in their applicant status including changes in family composition, income, or preference factors. The Municipal Housing Authority of the City of Utica will annotate the applicant's file and will update their place on the waiting list. Confirmation of the changes will be confirmed with the family in writing.

The second phase is the final determination of eligibility, referred to as the full application. The full application takes place when the family nears the top of the waiting list. The Municipal Housing Authority of the City of Utica will ensure that verification of all preferences, eligibility, suitability and selection factors are current in order to determine the family's final eligibility for admission into the Public Housing Program.

9.3 Families Nearing the Top of the Waiting List

When a family appears to nearing the top of the waiting list, the family will be invited to an interview and the verification process will begin. It is at this point in time that the family's waiting list preference will be verified. If the family no longer qualifies to be near the top of the list, the family's name will be returned to the appropriate spot on the waiting list. The Municipal Housing Authority of the City of Utica must notify the family in writing of this determination and give the family the opportunity for an informal review.

Once the preference has been verified, the family will complete a full application, present Social Security number information, citizenship/eligible immigrant information, and sign the Consent for Release of Information forms.

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- Criminal or Drug-related activity
- Rental history
- Housekeeping
- Other (describe)

The following is an extract from our adopted Admissions and Continued Occupancy Policy.

8.3 Suitability

- A. Applicant families will be evaluated to determine whether, based on their recent behavior, such behavior could reasonably be expected to result in noncompliance with the public housing lease. The Municipal Housing Authority of the City of Utica will look at past conduct as an indicator of future conduct. Emphasis will be placed on whether a family's admission could reasonably be expected to have a detrimental effect on the development environment, other tenants, Municipal Housing Authority of the City of Utica employees, or other people residing in the immediate vicinity of the property. Otherwise eligible families will be denied admission if they fail to meet the suitability criteria.
- B. The Municipal Housing Authority of the City of Utica will consider objective and reasonable aspects of the family's background, including the following:
 - 1. History of meeting financial obligations, especially rent;
 - 2. Ability to maintain (or with assistance would have the ability to maintain) their housing in a decent and safe condition based on living or housekeeping habits and whether such habits could adversely affect the health, safety, or welfare of other tenants;
 - 3. History of criminal activity by any household member involving crimes of physical violence against persons or property and any other criminal activity including drug-related criminal activity that would adversely affect the health, safety, or well being of other tenants or staff or cause damage to the property;
 - 3. History of disturbing neighbors or destruction of property;
 - 4. Having committed fraud in connection with any Federal housing assistance program, including the intentional misrepresentation

of information related to their housing application or benefits derived there from; and

5. History of abusing alcohol in a way that may interfere with the health, safety, or right to peaceful enjoyment by others.
- C. The Municipal Housing Authority of the City of Utica will ask applicants to provide information demonstrating their ability to comply with the essential elements of the lease. The Municipal Housing Authority of the City of Utica will verify the information provided. Such verification may include but may not be limited to the following:
1. A credit check of the head, spouse and co-head;
 2. A rental history check of all adult family members;
 3. A criminal background check on all adult household members, including live-in aides. This check will be made through State or local law enforcement or court records in those cases where the household member has lived in the local jurisdiction for the last three years. Where the individual has lived outside the local area, the Municipal Housing Authority of the City of Utica may contact law enforcement agencies where the individual had lived or request a check through the FBI's National Crime Information Center (NCIC);
 4. A check of the State's lifetime sex offender registration program for each adult household member, including live-in aides. No individual registered with this program will be admitted to public housing.

8.4 Grounds For Denial

The Municipal Housing Authority of the City of Utica is not required or obligated to assist applicants who:

- A. Do not meet any one or more of the eligibility criteria;
- B. Do not supply information or documentation required by the application process;
- C. Have failed to respond to a written request for information or a request to declare their continued interest in the program;

- D. Have a history of not meeting financial obligations, especially rent;
- E. Do not have the ability to maintain (with assistance) their housing in a decent and safe condition where such habits could adversely affect the health, safety, or welfare of other tenants;
- F. Have a history of criminal activity by any household member involving crimes of physical violence against persons or property and any other criminal activity including drug-related criminal activity that would adversely affect the health, safety, or well being of other tenants or staff or cause damage to the property;
- G. Have a history of disturbing neighbors or destruction of property;
- H. Currently owes rent or other amounts to any housing authority in connection with their public housing or Section 8 programs;
- I. Have committed fraud, bribery or any other corruption in connection with any Federal housing assistance program, including the intentional misrepresentation of information related to their housing application or benefits derived there from;
- J. Were evicted from assisted housing within three years of the projected date of admission because of drug-related criminal activity involving the personal use or possession for personal use;
- K. Were evicted from assisted housing within five years of the projected date of admission because of drug-related criminal activity involving the illegal manufacture, sale, distribution, or possession with the intent to manufacture, sell, distribute a controlled substance as defined in Section 102 of the Controlled Substances Act, 21 U.S.C. 802;
- L. Are illegally using a controlled substance or are abusing alcohol in a way that may interfere with the health, safety, or right to peaceful enjoyment of the premises by other residents. The Municipal Housing Authority of the City of Utica may waive this requirement if:
 - 1. The person demonstrates to the Municipal Housing Authority of the City of Utica's satisfaction that the person is no longer engaging in drug-related criminal activity or abuse of alcohol;
 - 2. Has successfully completed a supervised drug or alcohol rehabilitation program;

- 3. Has otherwise been rehabilitated successfully; or
- 4. Is participating in a supervised drug or alcohol rehabilitation program.

M. Have engaged in or threatened abusive or violent behavior towards any Municipal Housing Authority of the City of Utica staff member or resident;

N. Have a household member who has ever been evicted from public housing;

O. Have a family household member who has been terminated under the certificate or voucher program;

P. **Denied for Life:** If any family member has been convicted of manufacturing or producing methamphetamine (speed) in a public housing development or in a Section 8 assisted property;

Q. **Denied for Life:** Has a lifetime registration under a State sex offender registration program.

- c. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- d. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- e. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

(2)Waiting List Organization

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- Community-wide list
- Sub-jurisdictional lists
- Site-based waiting lists
- Other (describe)

b. Where may interested persons apply for admission to public housing?

- PHA main administrative office

- PHA development site management office
- Other (list below)

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**

1. How many site-based waiting lists will the PHA operate in the coming year? 5

2. Yes No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists? 5

3. Yes No: May families be on more than one list simultaneously
If yes, how many lists? 5

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- PHA main administrative office
- All PHA development management offices
- Management offices at developments with site-based waiting lists
- At the development to which they would like to apply
- Other (list below)

(3) Assignment

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- One
- Two
- Three or More

The following is an extract from our adopted Admissions and Continued Occupancy Policy.

10.6 Offer of a Unit

When the Municipal Housing Authority of the City of Utica discovers that a unit will become available, we will contact the first family on the waiting list who has the highest priority for this type of unit or development and whose

income category would help to meet the deconcentration goal and/or the income targeting goal.

The Municipal Housing Authority of the City of Utica will contact the family first by telephone to make the unit offer. If the family cannot be reached by telephone, the family will be notified of a unit offer via first class mail. The family will be given five (5) business days from the date the letter was mailed to contact the Municipal Housing Authority of the City of Utica regarding the offer.

The family will be offered the opportunity to view the unit. After the opportunity to view the unit, the family will have two (2) business days to accept or reject the unit. This verbal offer and the family's decision must be documented in the tenant file. If the family rejects the offer of the unit, the Municipal Housing Authority of the City of Utica will send the family a letter documenting the offer and the rejection.

10.7 Rejection of Unit

If in making the offer to the family the Municipal Housing Authority of the City of Utica skipped over other families on the waiting list in order to meet their deconcentration goal or offered the family any other deconcentration incentive and the family rejects the unit, the family will not lose their place on the waiting list and will not be otherwise penalized.

If the Municipal Housing Authority of the City of Utica did not skip over other families on the waiting list to reach this family, did not offer any other deconcentration incentive, and the family rejects the unit without good cause, the family will forfeit their application's date and time. The family will keep their preferences, but the date and time of application will be changed to the date and time the unit was rejected.

If the family rejects with good cause any unit offered, they will not lose their place on the waiting list. Good cause includes reasons related to health, proximity to work, school, and childcare (for those working or going to school). The family will be offered the right to an informal review of the decision to alter their application status.

b. Yes No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences

a. Income targeting:

- Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- Emergencies
- Overhoused
- Underhoused
- Medical justification
- Administrative reasons determined by the PHA (e.g., to permit modernization work)
- Resident choice: (state circumstances below)
- Other: (list below)

c. Preferences

1. Yes No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If “no” is selected, skip to subsection **(5) Occupancy**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs

- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

Date and Time

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

4. Relationship of preferences to income targeting requirements:

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- The PHA-resident lease
- The PHA's Admissions and (Continued) Occupancy policy
- PHA briefing seminars or written materials
- Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- At an annual reexamination and lease renewal
- Any time family composition changes
- At family request for revision
- Other (list)

The following is an extract from our adopted Admissions and Continued Occupancy Policy

15.6 Interim Reexaminations

During an interim reexamination, only the information affected by the changes being reported will be reviewed and verified.

Families are not required to report any increase in earned income or decrease in allowable expenses between annual reexaminations.

Families are required to report the following changes to the Municipal Housing Authority of the City of Utica between regular reexaminations. If the family's rent is being determined under the income method, these changes will trigger an interim reexamination. The family shall report these changes within ten (10) days of their occurrence.

- A. A member has been added to the family through birth or adoption or court-awarded custody.
- B. A household member is leaving or has left the family unit.

In order to add a household member other than through birth or adoption (including a live-in aide), the family must request that the new member be added to the lease. Before adding the new member to the lease, the individual must complete an application form stating their income, assets, and all other information required of an applicant. The individual must provide their Social Security number if they have one and must verify their citizenship/eligible immigrant status. (Their housing will not be delayed due to delays in verifying eligible immigrant status other than delays caused by the family.) The new

family member will go through the screening process similar to the process for applicants. The Municipal Housing Authority of the City of Utica will determine the eligibility of the individual before adding them to the lease. If the individual is found to be ineligible or does not pass the screening criteria, they will be advised in writing and given the opportunity for an informal review. If they are found to be eligible and do pass the screening criteria, their name will be added to the lease. At the same time, if the family's rent is being determined under the income method, the family's annual income will be recalculated taking into account the circumstances of the new family member. The effective date of the new rent will be in accordance with Section 15.8.

Families are not required to, but may at any time, request an interim reexamination based on a decrease in income, an increase in allowable expenses, or other changes in family circumstances. Upon such request, the Municipal Housing Authority of the City of Utica will take timely action to process the interim reexamination and recalculate the tenant's rent.

(6) Deconcentration and Income Mixing

This section intentionally left blank in accordance with the instructions provided in HUD PIH Notice 99-51. In accordance with Notice PIH 2001-4, we are responding to revised questions provided in the Notice. See Attachment ny006n01.

- a. Yes No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?
- b. Yes No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?
- c. If the answer to b was yes, what changes were adopted? (select all that apply)
- Adoption of site based waiting lists
If selected, list targeted developments below:
- Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments
If selected, list targeted developments below:
- Employing new admission preferences at targeted developments

If selected, list targeted developments below:

Other (list policies and developments targeted below)

d. Yes No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- Additional affirmative marketing
- Actions to improve the marketability of certain developments
- Adoption or adjustment of ceiling rents for certain developments
- Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
- Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)

- Criminal or drug-related activity only to the extent required by law or regulation
- Criminal and drug-related activity, more extensively than required by law or regulation

- More general screening than criminal and drug-related activity (list factors below)
- Other (list below)

The following is an extract from our adopted Section 8 Administrative Plan

G. TENANT SCREENING [24 CFR 982.307]

The PHA will take into consideration any of the criteria for admission described in the "Denial or Termination of Assistance" chapter.

The PHA **will not** screen family behavior or suitability for tenancy. The PHA will not be liable or responsible to the owner or other persons for the family's behavior or the family's conduct in tenancy.

The owner is responsible for screening and selection of the family to occupy the owner's unit. At or before PHA approval of the tenancy, the PHA will inform the owner that screening and selection for tenancy is the responsibility of the owner.

The owner is responsible for screening families based on their tenancy histories, including such factors as:[24 CFR 982.307(a)(3)]

Payment of rent and utility bills

Caring for a unit and premises

Respecting the rights of other residents to the peaceful enjoyment of their housing

Drug-related criminal activity or other criminal activity that is a threat to the health, safety or property of others; and

Compliance with other essential conditions of tenancy.

The PHA will advise families how to file a complaint if they have been discriminated against by an owner. The PHA will advise the family to make a Fair Housing complaint. The PHA may also report the owner to HUD (Fair Housing/Equal Opportunity) or the local Fair Housing Organization.

- b. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- c. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

d. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

- Criminal or drug-related activity
 Other (describe below)

The following is an extract from our adopted Section 8 Administrative Plan

H. **INFORMATION TO OWNERS** [24 CFR 982.307(b), 982.54(d)(7)]

In accordance with HUD requirements, the PHA will furnish prospective owners **who request the family's address information in writing from the PHA** with the family's current address as shown in the PHA's records and, if known to the PHA, the name and address of the landlord at the family's current and prior address.

The PHA will make an exception to this requirement if the family's whereabouts must be protected due to domestic abuse or witness protection.

The PHA will inform owners that it is the responsibility of the landlord to determine the suitability of prospective tenants. Owners will be encouraged to screen applicants for rent payment history, payment of utility bills, eviction history, respecting the rights of other residents, damage to units, drug-related criminal activity or other criminal activity that is a threat to the health, safety or property of others, and compliance with other essential conditions of tenancy.

A statement of the PHA's policy on release of information to prospective landlords will be included in the briefing packet which is provided to the family.

The PHA will provide documented information regarding tenancy history for the past five years to prospective landlords upon written request from the landlord, if available.

The PHA will furnish prospective owners with information about the family's rental history, or any history of drug trafficking.

(2) Waiting List Organization

a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

- None
- Federal public housing
- Federal moderate rehabilitation
- Federal project-based certificate program
- Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

- PHA main administrative office
- Other (list below)

Interested persons may request an application form be mailed to them.

(3) Search Time

a. Yes No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

The following is an extract from our adopted Section 8 Administrative Plan

F. TERM OF VOUCHER [24 CFR 982.303, 982.54(d)(11)]

During the briefing session, each household will be issued a Voucher, which represents a contractual agreement between the PHA and the Family specifying the rights and responsibilities of each party. It does not constitute admission to the program, which occurs when the lease and contract become effective.

Expirations

The Voucher is valid for a period of at least sixty calendar days from the date of issuance. The family must submit a Request for Approval of the Tenancy and Lease within the sixty-day period unless an extension has been granted by the PHA.

If the Voucher has expired, and has not been extended by the PHA or expires after an extension, the family will be denied assistance. The family will not be entitled to a review or hearing. If the family is currently assisted, they may remain as a participant in their unit if there is an assisted lease/contract in effect.

Suspensions

When a Request for Approval of Tenancy is received, the PHA **will not** deduct the number of days required to process the request from the 60 day term of the voucher

Extensions

A family may request a written request for an extension of the Voucher time period. All requests for extensions must be received prior to the expiration date of the Voucher.

Extensions are permissible at the discretion of the PHA up to a maximum of an additional 60 days primarily for these reasons:

Extenuating circumstances such as hospitalization or a family emergency for an extended period of time which has affected the family's ability to find a unit within the initial sixty-day period. Verification is required.

The PHA is satisfied that the family has made a reasonable effort to locate a unit, including seeking the assistance of the PHA, throughout the initial sixty-day period. A completed search record is not required.

Assistance to Voucher Holders

Families who require additional assistance during their search may call the PHA Office to request assistance. Voucher holders will be notified at their briefing session that the PHA periodically updates the listing of available units and how the updated list may be obtained.

The PHA will assist families with negotiations with owners and provide other assistance related to the families' search for housing.

(4) Admissions Preferences

a. Income targeting

Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

b. Preferences

1. Yes No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Date and Time

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability

- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- Date and time of application
- Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for "residents who live and/or work in the jurisdiction" (select one)

- This preference has previously been reviewed and approved by HUD
- The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs - NA

a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- The Section 8 Administrative Plan
- Briefing sessions and written materials
- Other (list below)

b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- Through published notices
- Other (list below)

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

(1) Income Based Rent Policies

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

a. Use of discretionary policies: (select one)

- The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

- The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- \$0
 \$1-\$25
 \$26-\$50

2. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

c. Rents set at less than 30% than adjusted income

1. Yes No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?
2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:
- d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)
- For the earned income of a previously unemployed household member
 - For increases in earned income
 - Fixed amount (other than general rent-setting policy)
If yes, state amount/s and circumstances below:
 - Fixed percentage (other than general rent-setting policy)
If yes, state percentage/s and circumstances below:
 - For household heads
 - For other family members
 - For transportation expenses
 - For the non-reimbursed medical expenses of non-disabled or non-elderly families
 - Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

- Yes for all developments
- Yes but only for some developments
- No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- For all developments
- For all general occupancy developments (not elderly or disabled or elderly only)
- For specified general occupancy developments
- For certain parts of developments; e.g., the high-rise portion

- For certain size units; e.g., larger bedroom sizes
- Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- Market comparability study
- Fair market rents (FMR)
- 95th percentile rents
- 75 percent of operating costs
- 100 percent of operating costs for general occupancy (family) developments
- Operating costs plus debt service
- The “rental value” of the unit
- Other (list below)

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- Never
- At family option
- Any time the family experiences an income increase
- Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold)_____
- Other (list below)

The following is an extract from our adopted Admissions and Continued Occupancy Policy.

15.6 Interim Reexaminations

During an interim reexamination, only the information affected by the changes being reported will be reviewed and verified.

Families are not required to report any increase in earned income or decrease in allowable expenses between annual reexaminations.

g. Yes No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- The section 8 rent reasonableness study of comparable housing
- Survey of rents listed in local newspaper
- Survey of similar unassisted units in the neighborhood
- Other (list/describe below)

We plan to also utilize the current FMR as a basis for determining our flat rents.

B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Payment Standards

Describe the voucher payment standards and policies.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- At or above 90% but below 100% of FMR
- 100% of FMR
- Above 100% but at or below 110% of FMR
- Above 110% of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- The PHA has chosen to serve additional families by lowering the payment standard
- Reflects market or submarket
- Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level?
(select all that apply)

- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- Reflects market or submarket
- To increase housing options for families
- Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)

- Annually
- Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- Success rates of assisted families
- Rent burdens of assisted families
- Other (list below)

Annual interviews with residents

(2) Minimum Rent

a. What amount best reflects the PHA's minimum rent? (select one)

- \$0
- \$1-\$25
- \$26-\$50

b. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

5. Operations and Management

[24 CFR Part 903.7 9 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

A. PHA Management Structure

Describe the PHA's management structure and organization.

(select one)

- An organization chart showing the PHA's management structure and organization is attached. See Attachment ny006k01.
- A brief description of the management structure and organization of the PHA follows:

B. HUD Programs Under PHA Management

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use "NA" to indicate that the PHA does not operate any of the programs listed below.)

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing	942 units	110 families
Section 8 Vouchers	174	25
Section 8 Certificates	NA	NA
Section 8 Mod Rehab	NA	NA
Special Purpose Section 8 Certificates/Vouchers (list individually)	NA	NA
Public Housing Drug Elimination Program (PHDEP)	Varies depending on the program. See Attachment ny006d01	See Attachment ny006d01
Other Federal Programs(list individually)		

C. Management and Maintenance Policies

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Public Housing Maintenance and Management: (list below)

- Agency Plan
- Admissions and Continued Occupancy Policy
- Capitalization Policy

Capital Fund Program Annual Statement and 5-Year Action Plan
Check Signing Policy
Community Space Policy
Criminal Records Management Policy
Deconcentration Policy
Disposition Policy
Drug-Free Workplace Policy
Dwelling Lease
Equal Housing Opportunity Policy
Ethics Policy
Funds Transfer Policy
Grievance Procedures
Personnel Policy
Investment Policy
Maintenance Policy
Procurement Policy
Harassment Policy
Trespassing Policy
Pet Policy
Pest Control Policy
Schedule of Flat Rents
Schedule of Standard Charges to Residents

(2) Section 8 Management: (list below)

Administrative Plan
Voucher Holders Packet

6. PHA Grievance Procedures

[24 CFR Part 903.7 9 (f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

A. Public Housing

1. Yes No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- PHA main administrative office
- PHA development management offices
- Other (list below)

B. Section 8 Tenant-Based Assistance

1. Yes No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- PHA main administrative office
- Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

A. Capital Fund Activities

Exemptions from sub-component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

(1) Capital Fund Program Annual Statement

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template **OR**, at the PHA's option, by completing and attaching a properly updated HUD-52837.

Select one:

- The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment (state name)

ny006b01 - Municipal Housing Authority of the City of Utica Capital Funds Program Annual Statement

-or-

- The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

(2) Optional 5-Year Action Plan

Agencies are encouraged to include a 5-Year Action Plan covering capital work items. This statement can be completed by using the 5 Year Action Plan table provided in the table library at the end of the PHA Plan template **OR** by completing and attaching a properly updated HUD-52834.

- a. Yes No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)
- b. If yes to question a, select one:
- The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment (state name)
- ny006c01 - Municipal Housing Authority of the City of Utica Capital Fund Program 5 Year Action Plan
- or-
- The Capital Fund Program 5-Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert here)

B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

- 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:
 2. Development (project) number:
 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

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:

**NY006-10 Washington Courts
NY006-01 Adrean Terrace**

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:

NY006-10 Humphrey Gardens

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:

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

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.)

Disposition of NY006-10 Washington Courts (Federalization). Goldbas Homes (Federalization) has been demolished and the site will be disposed of.

Partial demolition of NY006-1 Adrean Terrace

2. Activity Description

Yes No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If

“yes”, skip to component 9. If “No”, complete the Activity Description table below.)

Demolition/Disposition Activity Description
1a. Development name: Washington Courts 1b. Development (project) number: NY006-10 (Federalization)
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission: <u>(05/01/01)</u>
5. Number of units affected: 111
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 05/01/02 b. Projected end date of activity: 11/01/02

Demolition/Disposition Activity Description
1a. Development name: Goldbas Homes 1b. Development (project) number: NY006-10 (Federalization)
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission: <u>(05/01/01)</u>
5. Number of units affected: 0
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development (units have been demolished – site disposition only)
7. Timeline for activity: a. Actual or projected start date of activity: 05/01/02 b. Projected end date of activity: 11/01/02

Demolition/Disposition Activity Description
1a. Development name: Adrean Terrace 1b. Development (project) number: NY006-1

2. Activity type: Demolition <input checked="" type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission: (05/01/01)
5. Number of units affected: 17
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 05/01/02 b. Projected end date of activity: 11/01/02

9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities

[24 CFR Part 903.7 9 (i)]

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

1. Yes No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

2. Activity Description

Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.

Designation of Public Housing Activity Description	
1a. Development name:	
1b. Development (project) number:	
2. Designation type:	
	Occupancy by only the elderly <input type="checkbox"/>
	Occupancy by families with disabilities <input type="checkbox"/>
	Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one)	
	Approved; included in the PHA's Designation Plan <input type="checkbox"/>
	Submitted, pending approval <input type="checkbox"/>
	Planned application <input type="checkbox"/>
4. Date this designation approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>	
5. If approved, will this designation constitute a (select one)	
	<input type="checkbox"/> New Designation Plan
	<input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected:	
7. Coverage of action (select one)	
	<input type="checkbox"/> Part of the development
	<input type="checkbox"/> Total development

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act

1. Yes No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

- Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

Conversion of Public Housing Activity Description
1a. Development name: 1b. Development (project) number:
2. What is the status of the required assessment? <input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)
4. Status of Conversion Plan (select the statement that best describes the current status) <input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one) <input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: _____) <input type="checkbox"/> Requirements no longer applicable: vacancy rates are less than 10 percent <input type="checkbox"/> Requirements no longer applicable: site now has less than 300 units <input type="checkbox"/> Other: (describe below)

B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937

C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

A. Public Housing

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

1. Yes No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description

- Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asst Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

Public Housing Homeownership Activity Description (Complete one for each development affected)
1a. Development name: 1b. Development (project) number:
2. Federal Program authority: <input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one) <input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)
5. Number of units affected:
6. Coverage of action: (select one)

- | |
|--|
| <input type="checkbox"/> Part of the development |
| <input type="checkbox"/> Total development |

B. Section 8 Tenant Based Assistance

1. Yes No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program

Yes No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- 25 or fewer participants
- 26 - 50 participants
- 51 to 100 participants
- more than 100 participants

b. PHA-established eligibility criteria

Yes No: Will the PHA’s program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

12. PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.7 9 (l)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8-Only PHAs are not required to complete sub-component C.

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

- Yes No: Has the PHA entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? 08/14/97

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- Client referrals
 Information sharing regarding mutual clients (for rent determinations and otherwise)
 Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
 Jointly administer programs
 Partner to administer a HUD Welfare-to-Work voucher program
 Joint administration of other demonstration program
 Other (describe)

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- Public housing rent determination policies
 Public housing admissions policies
 Section 8 admissions policies
 Preference in admission to section 8 for certain public housing families
 Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
 Preference/eligibility for public housing homeownership option participation
 Preference/eligibility for section 8 homeownership option participation
 Other policies (list below)

b. Economic and Social self-sufficiency programs

Yes No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If “yes”, complete the following table; if “no” skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use.)

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)
ROSS Program	20 Residents	Random/TANF	All Development offices	Both
Welfare-to-Work (Hire Program)	30 Residents	TANF	O.C. Workforce Development	Both
Computer Lab – Job Center	ALL	ALL	All Development offices	Both

(2) Family Self Sufficiency program/s

a. Participation Description: NA

The Housing Authority is developing and implementing a economic self sufficiency program for public housing residents and Section 8 Program participants. This program is voluntary and is not a required HUD Family Self-Sufficiency program. We are utilizing this section to describe our program

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2001 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing	20 Participants	Program in initial stages of

		implementation.
Section 8	Included in the above	Program in initial stages of implementation.

- b. Yes No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size? – NA
 If no, list steps the PHA will take below:

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)

- Adopting appropriate changes to the PHA’s public housing rent determination policies and train staff to carry out those policies
- Informing residents of new policy on admission and reexamination
- Actively notifying residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)

D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937

See attachment ny006g01 – Municipal Housing Authority of the City of Utica Community Service Implementation Statement

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents
(select all that apply)

- High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- Residents fearful for their safety and/or the safety of their children
- Observed lower-level crime, vandalism and/or graffiti
- People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- Other (describe below)

2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents (select all that apply).

- Safety and security survey of residents
- Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- Analysis of cost trends over time for repair of vandalism and removal of graffiti
- Resident reports
- PHA employee reports
- Police reports
- Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- Other (describe below)

2. Which developments are most affected? (list below)

Washington Courts
Gillmore Village
Adrean Terrace
F.X. Matts
N.D. Peters

B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plans to undertake:
(select all that apply)

- Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities
- Crime Prevention Through Environmental Design
- Activities targeted to at-risk youth, adults, or seniors
- Volunteer Resident Patrol/Block Watchers Program
- Other (describe below)

Please refer to Attachment ny006d01 – Municipal Housing Authority of the City of Utica PHDEP Plan

2. Which developments are most affected? (list below)

Washington Courts
 Gillmore Village
 Adrean Terrace
 F.X. Matts
 N.D. Peters

PHDEP and economic self-sufficiency programs are available to all family developments.

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- Police provide crime data to housing authority staff for analysis and action
- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- Police regularly testify in and otherwise support eviction cases
- Police regularly meet with the PHA management and residents
- Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- Other activities (list below)

2. Which developments are most affected? (list below)

Local police services are available to all developments. Contract security is also provided as well as staff security.

D. Additional information as required by PHDEP/PHDEP Plan

PHAs eligible for FY 2000 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- Yes No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- Yes No: Has the PHA included the PHDEP Plan for FY 2001 in this PHA Plan?
- Yes No: This PHDEP Plan is an Attachment. (Attachment Filename:)

Attachment ny006d01 – Municipal Housing Authority of the City of Utica Public Housing Drug Elimination Program Plan

14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

See attachment ny006f01 – Municipal Housing Authority of the City of Utica Pet Policy Statement

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

16. Fiscal 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))?
(If no, skip to component 17.)
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)?

17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

**MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA
DECONCENTRATION POLICY**

DECONCENTRATION POLICY

It is the Municipal Housing Authority of the City of Utica's policy to provide for deconcentration of poverty and encourage income mixing by bringing higher income families into lower income developments and lower income families into higher income developments. Toward this end, we will skip families on the waiting list to reach other families with a lower or higher income. We will accomplish this in a uniform and non-discriminating manner.

The Municipal Housing Authority of the City of Utica will affirmatively market our housing to all eligible income groups. Lower income residents will not be steered toward lower income developments and higher income people will not be steered toward higher income developments.

Prior to the beginning of each fiscal year, we will analyze the income levels of families residing in each of our developments, and the income levels of the families on the waiting list. Based on this analysis, we will determine the level of marketing strategies and deconcentration incentives to implement.

DECONCENTRATION INCENTIVES

The Municipal Housing Authority of the City of Utica may offer one or more incentives to encourage applicant families whose income classification would help to meet the deconcentration goals of a particular development.

Various incentives may be used at different times, or under different conditions, but will always be provided in a consistent and nondiscriminatory manner.

OFFER OF A UNIT

When the Municipal Housing Authority of the City of Utica discovers that a unit will become available, we will contact the first family on the waiting list who has the highest priority for this type of unit or development and whose income category would help to meet the deconcentration goal and/or the income targeting goal.

The Municipal Housing Authority of the City of Utica will contact the family first by telephone to make the unit offer. If the family cannot be reached by telephone, the family will be notified of a unit offer via first class mail. The family will be given five (5) business days from the date the letter was mailed to contact the Housing Authority of the City of Utica regarding the offer.

The family will be offered the opportunity to view the unit. After the opportunity to view the unit, the family will have two (2) business days to accept or reject the unit. This verbal offer and the family's decision must be documented in the tenant file. If the family rejects the offer of the

unit, the Municipal Housing Authority of the City of Utica will send the family a letter documenting the offer and the rejection.

REJECTION OF UNIT

If in making the offer to the family the Municipal Housing Authority of the City of Utica skipped over other families on the waiting list in order to meet their deconcentration goal or offered the family any other deconcentration incentive and the family rejects the unit, the family will not lose their place on the waiting list and will not be otherwise penalized.

If the Municipal Housing Authority of the City of Utica did not skip over other families on the waiting list to reach this family, did not offer any other deconcentration incentive, and the family rejects the unit without good cause, the family will forfeit their application's date and time. The family will keep their preferences, but the date and time of application will be changed to the date and time the unit was rejected.

If the family rejects with good cause any unit offered, they will not lose their place on the waiting list. Good cause includes reasons related to health, proximity to work, school, and childcare (for those working or going to school). The family will be offered the right to an informal review of the decision to alter their application status.

ACCEPTANCE OF UNIT

The family will be required to sign a lease that will become effective no later than three (3) business days after the date of acceptance or the business day after the day the unit becomes available, whichever is later.

Prior to signing the lease, all families (head of household) and other adult family members will be required to attend the Lease and Occupancy Orientation when they are initially accepted for occupancy. The family will not be housed if they have not attended the orientation. Applicants who provide prior notice of an inability to attend the orientation will be rescheduled. Failure of an applicant to attend the orientation, without good cause, may result in the cancellation of the occupancy process.

The applicant will be provided a copy of the lease, the grievance procedure, utility allowances, utility charges, the current schedule of routine maintenance charges, tenant handbook, and a request for reasonable accommodation form. These documents will be explained in detail. The applicant will sign a certification that they have received these documents and that they have reviewed them with Housing Authority personnel. The certification will be filed in the resident's file.

Performance and Evaluation Report
Part II Supporting Pages
Comprehensive Grant Program (CGP)

**U.S. DEPARTMENT OF HOUSING
and URBAN DEVELOPMENT**
Office of Public and Indian Housing

OMB Approval No.

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status
				Original	Revised (1)	Funds Obligated (2)	Funds Expended (2)	
PHA-Wide Management Improvements	Maintenance Training	1408	100%	\$5,000.00	\$5,000.00	\$5,000.00	\$500.00	Funds used
	Administration Training	1408	100%	\$5,000.00	\$5,000.00	\$5,000.00	\$1,000.00	training opp
	Continuing Education for Residents (Job Readiness / Literacy Programs)	1408	100%	\$32,000.00	\$32,000.00	\$32,000.00	\$18,500.00	In progress.
	Funding for a Human Resource / Family Sufficiency Coordinator	1408	1	\$22,000.00	\$22,000.00	\$22,000.00	\$12,875.27	In progress.
	Fringe Benefits			\$6,000.00	\$6,000.00	\$6,000.00	\$0.00	In progress.
	Travel			\$3,000.00	\$3,000.00	\$3,000.00	\$0.00	In progress.
	Fund a security program (security officers)	1408	4	\$60,000.00	\$60,000.00	\$60,000.00	\$50,000.00	In progress.
	Funding for a Recreation Coordinator	1408	1	\$13,000.00	\$13,000.00	\$13,000.00	\$13,000.00	Completed.
	Funding for Day Care	1408	2	\$32,000.00	\$32,000.00	\$32,000.00	\$20,479.34	In progress.
	SUBTOTAL	1408		\$178,000.00	\$178,000.00	\$178,000.00	\$116,354.61	

(1) To be completed for the Performance and Evaluation Report of a Revised Annual Statement.
Signature of Executive Director and Date

(2) To be completed for the Performance and Evaluation Report.
Signature of Public Housing Director/ Office of Native American Programs Act

**Annual Statement/
Performance and Evaluation Report
Part II Supporting Pages
Comprehensive Grant Program (CGP)**

U.S. DEPARTMENT OF HOUSING
and URBAN DEVELOPMENT
Office of Public and Indian Housing

OMB Approval No.

Development Number /Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status
				Original	Revised (1)	Funds Obligated (2)	Funds Expended (2)	
GA69-1	Administration Costs for the CGP Program a) Operations Supervisor b) Occupancy Specialist c) Executive Director/Mod. Coordinator	1410	3	\$5,792.00	\$5,792.00	\$5,792.00	\$5,792.00	Completed.
				\$5,000.00	\$5,000.00	\$5,000.00	\$5,000.00	
				<u>\$10,792.00</u>	<u>\$10,792.00</u>	<u>\$10,792.00</u>	<u>\$10,792.00</u>	
GA69-1 PHA-wide	Clerk-of-the-Works Clerk-of-the-Works	1430	50	\$10,585.82	\$10,585.82	\$10,585.82	\$10,585.82	Completed.
				\$7,000.00	\$7,000.00	\$7,000.00	\$7,000.00	
GA69-1 PHA-wide PHA-wide	A/E design & expenses A/E design & expenses LBP testing & abatement	1430	50	\$29,300.00	\$29,300.00	\$29,300.00	\$29,300.00	Completed.
				\$4,490.05	\$4,490.05	\$4,490.05	\$4,490.05	
				\$0.00	\$914.18	\$914.18	\$914.18	
	<u>SUBTOTAL</u>	<u>1430</u>		<u>\$51,375.87</u>	<u>\$52,290.05</u>	<u>\$52,290.05</u>	<u>\$52,290.05</u>	

(1) To be completed for the Performance and Evaluation Report of a Revised Annual Statement.
Signature of Executive Director and Date

(2) To be completed for the Performance and Evaluation Report.
Signature of Public Housing Director/ Office of Native American Programs Ad

**Annual Statement/
Performance and Evaluation Report**
Part II Supporting Pages
Comprehensive Grant Program (CGP)

U.S. DEPARTMENT OF HOUSING
and URBAN DEVELOPMENT
Office of Public and Indian Housing

OMB Approval No.

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status
				Original	Revised (1)	Funds Obligated (2)	Funds Expended (2)	
GA69-1	Lawn Maintenance	1450	1	\$730.00	\$730.00	\$730.00	\$730.00	Completed.
GA69-2		1450	1	\$730.00	\$730.00	\$730.00	\$730.00	Completed.
GA69-3		1450	1	\$730.00	\$730.00	\$730.00	\$730.00	Completed.
GA69-4		1450	1	\$730.00	\$730.00	\$730.00	\$730.00	Completed.
GA69-5		1450	1	\$730.00	\$730.00	\$730.00	\$730.00	Completed.
GA69-6		1450	1	\$730.00	\$730.00	\$730.00	\$730.00	Completed.
GA69-7		1450	1	\$730.00	\$730.00	\$730.00	\$730.00	Completed.
GA69-8		1450	1	\$730.00	\$730.00	\$730.00	\$730.00	Completed.
GA69-9		1450	1	\$730.00	\$730.00	\$730.00	\$730.00	Completed.
GA69-10		1450	1	\$730.00	\$730.00	\$730.00	\$730.00	Completed.
GA69-11		1450	1	\$730.00	\$730.00	\$730.00	\$730.00	Completed.
	<u>SUBTOTAL</u>	<u>1450</u>		<u>\$8,030.00</u>	<u>\$8,030.00</u>	<u>\$8,030.00</u>	<u>\$8,030.00</u>	
GA69-1	Electrical system (including apartment numbers)	1460	47	\$116,608.60	\$116,608.60	\$0.00	\$0.00	Bids for this opened prior quarter ended
	Replace water heaters	1460	47	\$14,100.00	\$14,100.00	\$0.00	\$0.00	
	Hydronic heating & A/C system	1460	50	\$162,116.95	\$167,728.11	\$0.00	\$0.00	
	<u>SUBTOTAL</u>	<u>1460</u>		<u>\$292,825.55</u>	<u>\$298,436.71</u>	<u>\$0.00</u>	<u>\$0.00</u>	

(1) To be completed for the Performance and Evaluation Report of a Revised Annual Statement.

(2) To be completed for the Performance and Evaluation Report.

Signature of Executive Director and Date

Signature of Public Housing Director/ Office of Native American Programs Ad

**Annual Statement/
Performance and Evaluation Report**

U.S. DEPARTMENT OF HOUSING
and URBAN DEVELOPMENT

Part II Supporting Pages

Office of Public and Indian Housing

Comprehensive Grant Program (CGP)

OMB Approval No.

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status
				Original	Revised (1)	Funds Obligated (2)	Funds Expended (2)	
PHA-Wide	Administration Building: complete 97 CGP	1470	1	\$144,250.00	\$135,030.24	\$135,030.24	\$135,030.24	Completed.
	SUBTOTAL	1470		\$144,250.00	\$135,030.24	\$135,030.24	\$135,030.24	
PHA-Wide	Provide a copier for HA-wide needs	1475	1	\$9,305.58	\$12,000.00	\$12,000.00	\$10,013.58	In progress
	SUBTOTAL	1475		\$9,305.58	\$12,000.00	\$12,000.00	\$10,013.58	

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Signature of Executive Director and Date

Signature of Public Housing Director/ Office of Native American Programs Ad

Annual Statement/ Performance and Evaluation Report

U.S. DEPARTMENT OF HOUSING
and URBAN DEVELOPMENT
Office of Public and Indian Housing

Part I: Summary Comprehensive Grant Program (CGP)

HA Name: Housing Authority of the City of Dublin, Georgia Comprehensive Grant Number: GA06P069707-98 OMB Approval No. 2577-1

Original Annual Statement Reserve for Disasters/ Emergencies Revised Annual Statement/Revision Number: 4

Final Performance and Evaluation Report Performance and Evaluation Report for Program Year Ending: 12/30/00

Line No.	Summary by Development Account	Original	Revised	Total Actual Cost (2)	
				Obligated	Exp
1	1406 Operations	\$0.00	\$0.00	\$0.00	\$0.00
2	1408 Management Improvements 1/	\$178,000.00	\$178,000.00	\$178,000.00	\$178,000.00
3	1410 Administration 2/	\$10,792.00	\$10,792.00	\$10,792.00	\$10,792.00
4	1411 Audit	\$0.00	\$0.00	\$0.00	\$0.00
5	1415 Liquidated Damages	\$0.00	\$0.00	\$0.00	\$0.00
6	1430 Fees and Costs	\$51,375.87	\$52,290.05	\$52,290.05	\$52,290.05
7	1440 Site Acquisition	\$0.00	\$0.00	\$0.00	\$0.00
8	1450 Site Improvement	\$8,030.00	\$8,030.00	\$8,030.00	\$8,030.00
9	1460 Dwelling Structures	\$292,825.55	\$298,436.71	\$298,436.71	\$298,436.71
10	1465.1 Dwelling Equipment--Nonexpendable	\$0.00	\$0.00	\$0.00	\$0.00
11	1470 Nondwelling Structures	\$144,250.00	\$135,030.24	\$135,030.24	\$135,030.24
12	1475 Nondwelling Equipment	\$9,305.58	\$12,000.00	\$12,000.00	\$12,000.00
13	1495.1 Relocation	\$0.00	\$0.00	\$0.00	\$0.00
14	1490 Replacement Reserve	\$0.00	\$0.00	\$0.00	\$0.00
15	1502 Contingency (may not exceed 8% of line 16)	\$0.00	\$0.00	\$0.00	\$0.00
16	Amount of Annual Grant (Sum of lines 2-15)	\$694,579.00	\$694,579.00	\$694,579.00	\$694,579.00
17	Amount of Line 16 Related to LBP Activities	\$0.00	\$0.00	\$0.00	\$0.00
18	Amount of line 16 Related to Section 504 Compliance	\$0.00	\$0.00	\$0.00	\$0.00
19	Amount of line 16 Related to Security	\$60,000.00	\$60,000.00	\$60,000.00	\$60,000.00
20	Amount of line 16 Related to Energy Conservation Measures	\$0.00	\$0.00	\$0.00	\$0.00

(1) To be completed for the Performance and Evaluation Report of a Revised Annual Statement.

(2) To be completed for the Performance and Evaluation Report.

Signature of Executive Director and Date: _____
Signature of Public Housing Director/ Office of Native American Programs Administrator and Date: _____

**Annual Statement/
Performance and Evaluation Report**
Part III Implementation Schedule
Comprehensive Grant Program (CGP)

U.S. DEPARTMENT OF HOUSING
and URBAN DEVELOPMENT
Office of Public and Indian Housing

Development Number/Name HA-Wide Activities	All funds obligated		All funds Expended (Quarter Ending Date)		Reasons for Revised Target Data
	Original	Revised (1)	Original	Revised (1) Actual (2)	
GA069-1	3/30/00		3/30/01		
GA069-2	3/30/00		3/30/01		
GA069-3	3/30/00		3/30/01		
GA069-4	3/30/00		3/30/01		
GA069-5	3/30/00		3/30/01		
GA069-6	3/30/00		3/30/01		
GA069-7	3/30/00		3/30/01		
GA069-8	3/30/00		3/30/01		
GA069-9	3/30/00		3/30/01		
GA069-10	3/30/00		3/30/01		
GA069-11	3/30/00		3/30/01		
Management Improvements	3/30/00		3/30/01		

(1) To be completed for the Performance and Evaluation Report of a Revised Annual Statement.
Signature of Executive Director and Date

(2) To be completed for the Performance and Evaluation Report.
Signature of Public Housing Director/ Office of Native American Programs Administrator and Date

Attachment ny006c01

Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name		<input type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:			
Development Number/Name/H A-Wide	Year 1	Work Statement for Year 2 FFY Grant: 2002 PHA FY: 07/01/02	Work Statement for Year 3 FFY Grant: 2003 PHA FY: 07/01/03	Work Statement for Year 4 FFY Grant: 2004 PHA FY: 07/04/04	Work Statement for Year 5 FFY Grant: 2005 PHA FY: 07/01/05
	Annual Statement				
HA Wide		1,399,630	1,399,630	1,399,630	1,399,630
NY006-1		328,600	-0-	-0-	634,891
NY006-2		-0-	-0-	-0-	-0-
NY006-4		-0-	-0-	-0-	-0-
NY006-7		-0-	-0-	-0-	250,000
NY006-10					
Humphrey Gardens		426,600	182,856	459,000	218,714
Wash. Courts		-0-	-0-	-0-	-0-
FX Matt		82,600	-0-	-0-	80,000
Gilmore Village		345,805	1,000,749	724,605	-0-
CFP Funds Listed for 5-year planning		\$2,583,235	\$2,583,235	\$2,583,235	\$2,583,235
Replacement Housing Factor Funds					

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year 1	Activities for Year : <u> 2 </u> FFY Grant: 2002 PHA FY: 07/01/02			Activities for Year: <u> 3 </u> FFY Grant: 2003 PHA FY: 07/01/03		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost

See	<u>HA Wide</u>			<u>HA Wide</u>		
	<u>Mgt Improvements</u>	(A)Resident training /youth programs;	50,000	<u>Mgt Improvements</u>	(A)Resident training /youth programs;	50,000
		(B) community resource coordinator & benefits:	63,000		(B) community resource coordinator & benefits:	63,000
		grant writer & benefits:	46,000		grant writer & benefits:	46,000
		human resource coordinator & benefits:	47,000		human resource coordinator & benefits:	47,000
		recreation leader & benefits:	30,000		recreation leader & benefits:	30,000
		desktop specialist & benefits:	39,000		desktop specialist & benefits:	39,000
	<u>Administration</u>	mod. & Asst. mod coordinator, bookkeeper, Sr. typist, and Executive Director & benefits:	239,852	<u>Administration</u>	mod. & Asst. mod coordinator, bookkeeper, Sr. typist, and Executive Director & benefits:	239,852
	<u>Fees and Costs</u>	A & E services testing:	100,000	<u>Fees and Costs</u>	A & E services testing:	100,000
	<u>Operations</u>	Operating expenses: Mixed-financing program to sell bonds backed by CFP allocations for HOPE VI demo & revitalization, energy performance contracting & redevelopment projects	359,778 425,000	<u>Operations</u>	Operating expenses: Mixed-financing program to sell bonds backed by CFP allocations for HOPE VI demo & revitalization, energy performance contracting & redevelopment projects	359,778 425,000

Annual	<u>NY006-1</u> Adrean Terrace	Cycle Painting: Crawl Spaces Imp	278,600 50,000	<u>NY006-1</u> Adrean Terrace	NA	-0-
Statement	<u>NY006-2</u> N.D. Peters Manor	NA	-0-	<u>NY006-2</u> N.D. Peters Manor	NA	-0-
	<u>NY006-4</u> Perretta Twin Towers	NA	-0-	<u>NY006-4</u> Perretta Twin Towers	NA	-0-
	<u>NY006-7</u> Marino-Ruggiero Apts	NA	-0-	<u>NY006-7</u> Marino-Ruggiero Apts	NA	-0-
	<u>NY006-10</u> F.X. Matt Apts Washington Courts Gillmore Village	Cycle Painting: Cycle Painting; Improve sewer line: crawl space lighting & power: crawl space traps: bath renovations – phase 1:	82,600 -0- 153,851 10,000 50,000 30,000 101,954	<u>NY006-10</u> F.X. Matt Apts Washington Courts Gillmore Village	Bath renovation- phase II Apt. renovation (kitchen cabinets, countertops-phase I):	-0- -0- 587,474
	Humphrey Gardens	Cycle painting phase II: renovate baths phase I:	75,600 351,000	Humphrey Gardens	Bath renovation- phase II:	182,856
Total CFP Estimated Cost			\$2,583,235			\$2,583,235

Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages—Work Activities

Activities for Year : <u>4</u> FFY Grant: 2004 PHA FY: 07/01/04			Activities for Year: <u>5</u> FFY Grant: 2005 PHA FY: 07/01/05		
Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost

<u>HA Wide</u>		
<u>Mgt Improvements</u>	(A)Resident training /youth programs;	50,000
	(B) community resource coordinator & benefits:	63,000
	grant writer & benefits:	46,000
	human resource coordinator & benefits:	47,000
	recreation leader & benefits:	30,000
	desktop specialist & benefits:	39,000
<u>Administration</u>	mod. & Asst. mod coordinator, bookkeeper, Sr. typist, and Executive Director & benefits:	239,852
<u>Fees and Costs</u>	A & E services testing:	100,000
<u>Operations</u>	Operating expenses:	359,778
	Mixed-financing program to sell bonds backed by CFP allocations for HOPE VI demo & revitalization, energy performance contracting & redevelopment projects	425,000

<u>HA Wide</u>		
<u>Mgt Improvements</u>	(A)Resident training /youth programs;	50,000
	(B) community resource coordinator & benefits:	63,000
	grant writer & benefits:	46,000
	human resource coordinator & benefits:	47,000
	recreation leader & benefits:	30,000
	desktop specialist & benefits:	39,000
<u>Administration</u>	mod. & Asst. mod coordinator, bookkeeper, Sr. typist, and Executive Director & benefits:	239,852
<u>Fees and Costs</u>	A & E services testing:	100,000
<u>Operations</u>	Operating expenses:	359,778
	Mixed-financing program to sell bonds backed by CFP allocations for HOPE VI demo & revitalization, energy performance contracting & redevelopment projects	425,000

<u>NY006-1</u> Adrean Terrace	NA	-0-	<u>NY006-1</u> Adrean Terrace	Apt renovation (kitchen cabinets & countertops)	634,891
<u>NY006-2</u> N.D. Peters Manor	NA	-0-	<u>NY006-2</u> N.D. Peters Manor	NA	-0-
<u>NY006-4</u> Perretta Twin Towers	NA	-0-	<u>NY006-4</u> Perretta Twin Towers	NA	-0-
<u>NY006-7</u> Marino-Ruggiero Apts	NA	-0-	<u>NY006-7</u> Marino-Ruggiero Apts	Replace windows; siding; storm doors @duplexes; Roof replacement;	50,000 200,000
<u>NY006-10</u> F.X. Matt Apts Washington Courts Gillmore Village	NA NA	-0- -0- 724,604	<u>NY006-10</u> F.X. Matt Apts. Washington Courts Gillmore Village Humphrey Gardens	Replace roofs; NA NA Apt. renovation (kitchen cabinets, countertops-phase II)	80,000 -0- -0- 218,714
Humphrey Gardens	Apt. renovation (kitchen cabinets & countertops-phase I)	459,000			
Total CFP Estimated Cost		\$2,583,235			\$2,583,235

MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA

Public Housing Drug Elimination Program Plan

Note: THIS PHDEP Plan template (HUD 50075-PHDEP Plan) is to be completed in accordance with Instructions located in applicable PIH Notices.

Annual PHDEP Plan Table of Contents:

- 1. General Information/History**
- 2. PHDEP Plan Goals/Budget**
- 3. Milestones**
- 4. Certifications**

Section 1: General Information/History

A. Amount of PHDEP Grant \$ 227,019

B. Eligibility type (Indicate with an "x") N1 _____ N2 _____ R X

C. FFY in which funding is requested FFY 2001

D. Executive Summary of Annual PHDEP Plan

In the space below, provide a brief overview of the PHDEP Plan, including highlights of major initiatives or activities undertaken. It may include a description of the expected outcomes. The summary must not be more than five (5) sentences long

The Municipal Housing Authority of the City of Utica will use a comprehensive approach to reduce/eliminate drug related crime to provide a safe environment for its residents. Internal security personnel, community police patrols, resident patrols, and drug prevention programs will continue the effort to combat crime in the family developments. PHDEP programs will be combined with partnerships with community organizations to provide residents with increased educational and employment opportunities. These efforts will continue to foster a safe and productive atmosphere within the City of Utica, and provide the support required for the effective elimination of drugs and drug related crime.

E. Target Areas

Complete the following table by indicating each PHDEP Target Area (development or site where activities will be conducted), the total number of units in each PHDEP Target Area, and the total number of individuals expected to participate in PHDEP sponsored activities in each Target Area.

PHDEP Target Areas (Name of development(s) or site)	Total # of Units within the PHDEP Target Area(s)	Total Population to be Served within the PHDEP Target Area(s)
Adrean Terrace; FX Matt, ND Peters	350	557
Gillmore Village	200	471
Humphrey Gardens	108	233
Washington Courts	111	246
Duplex Homes and Eagle Street	10	33

F. Duration of Program

Indicate the duration (number of months funds will be required) of the PHDEP Program proposed under this Plan (place an “x” to indicate the length of program by # of months. For “Other”, identify the # of months).

6 Months _____ 12 Months X 18 Months _____ 24 Months _____ Other _____

G. PHDEP Program History

Indicate each FY that funding has been received under the PHDEP Program (place an “x” by each applicable Year) and provide amount of funding received. If previously funded programs have not been closed out at the time of this submission, indicate the fund balance and anticipated completion date. For grant extensions received, place “GE” in column or “W” for waivers.

Fiscal Year of Funding	PHDEP Funding Received	Grant #	Fund Balance as of Date of this Submission	Grant Extensions or Waivers	Anticipated Completion Date
FY 1995	330,600	NYDEP0060195	-0-	NA	completed
FY 1996	326,400	NYDEP0060196	-0-	NA	completed
FY 1997	311,900	NYDEP0060197	-0-	NA	completed
FY1998	311,700	NYDEP0060198	-0-	NA	completed
FY 1999	226,243	NYDEP0060199	-0-		6/30/01
FY 2000	226,243	NYDEP0060100	226,243		6/30/01

Section 2: PHDEP Plan Goals and Budget

A. PHDEP Plan Summary

In the space below, summarize the PHDEP strategy to address the needs of the target population/target area(s). Your summary should briefly identify: the broad goals and objectives, the role of plan partners, and your system or process for monitoring and evaluating PHDEP-funded activities. This summary should not exceed 5-10 sentences.

The Plan maintains the presence of law enforcement above and beyond base-line services and Volunteer Tenant Patrols; continues job creation efforts under our welfare-to-work programs and proposes a comprehensive case management effort directed towards drug prevention/intervention and youth leadership development. Outreach to residents provides a continuum of care on-site, in our new resident training centers, and is designed to improve personal self-esteem, employability, significant activities meaningful to youth, and licensed substance abuse treatment. On-site case managers, including a case management coordinator, case management specialist and a drug advisor will provide assistance to residents through on-going drug prevention programs.

Our goals and objectives are to provide visible security patrols for the developments that will help to reduce the presence of drugs and drug-related crime. Reports from security patrols will provide monitoring and evaluation of their activities. Our case management staff goals and objectives are to provide educational and employment opportunities to residents. Monitoring and evaluation is determined by the maintenance of detailed statistical reports reflecting the number of families assisted and the rates of success.

B. PHDEP Budget Summary

Enter the total amount of PHDEP funding allocated to each line item.

FY 2001 PHDEP Budget Summary	
Budget Line Item	Total Funding
9110 - Reimbursement of Law Enforcement	71,222
9120 - Security Personnel	
9130 - Employment of Investigators	
9140 - Voluntary Tenant Patrol	2,490
9150 - Physical Improvements	
9160 - Drug Prevention	85,341
9170 - Drug Intervention	61,880
9180 - Drug Treatment	
9190 - Other Program Costs	6,086
TOTAL PHDEP FUNDING	227,019

C. PHDEP Plan Goals and Activities

In the tables below, provide information on the PHDEP strategy summarized above by budget line item. Each goal and objective should be numbered sequentially for each budget line item (where applicable). Use as many rows as necessary to list proposed activities (additional rows may be inserted in the tables). PHAs are not required to provide information in shaded boxes. Information provided must be concise—not to exceed two sentences in any column. Tables for line items in which the PHA has no planned goals or activities may be deleted.

9110 - Reimbursement of Law Enforcement						Total PHDEP Funding: \$ 71,222	
Goal(s)	To provide visible security patrols for the public housing developments						
Objectives	To reduce drug and drug related crime in the Municipal Housing Authority of the City of Utica						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount/Source)	Performance Indicators
1. Law Enforcement Officers			7/1/01	6/30/02	71,222	-0-	Reduction in Crime activities
2.							
3.							

9120 - Security Personnel						Total PHDEP Funding: \$ -0-	
Goal(s)	To protect life and property in public housing						
Objectives	To provide site management for safe housing						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount)	Performance Indicators

						/Source)	
1.							
2.							
3.							

9130 - Employment of Investigators						Total PHDEP Funding: \$ -0-	
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9140 - Voluntary Tenant Patrol						Total PHDEP Funding: \$ 2,490	
Goal(s)							
To assist in site management							
Objectives							
To monitor, deter, detect and report criminal activity							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. Tenant Patrols	2,102	2,102	7/1/01	6/30/02	2,490	-0-	Reduced incidents of criminal activity (goal – 3%)
2.							
3.							

9150 - Physical Improvements						Total PHDEP Funding: \$ -0-	
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9160 - Drug Prevention						Total PHDEP Funding: \$ 85,341	
Goal(s)							
To provide assistance through case management							
Objectives							
To reach out to residents in need of assistance							
Proposed Activities	# of Persons	Target Population	Start Date	Expected Complete	PHEDEP Funding	Other Funding	Performance Indicators

	Served			Date		(Amount /Source)	
1. Case Management Coordinator/Specialist	2,102	2,102	7/1/01	6/30/02	65,741	-0-	# of referrals
2. Drug Advisor	2,102	2,102	7/1/01	6/30/02	19,500	-0-	# of referrals
3.							

9170 - Drug Intervention					Total PHDEP Funding: \$ 61,880		
Goal(s)	To provide safety and programming to residents at risk						
Objectives	To reduce resident involvement in drug use						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. Security Consultant	2,102	2,102	7/1/01	6/30/02	34,000	-0-	Crime Reduction
2. Drug Prevention Supportive Services	2,102	2,102	7/1/01	6/30/02	25,480	-0-	% of Residents rehabilitated
3. Evaluation of Grant and survey	2,102	2,102	7/1/01	6/30/02	2,400	-0-	Evaluation/survey completion

9180 - Drug Treatment					Total PHDEP Funding: \$ -0-		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9190 - Other Program Costs					Total PHDEP Funds: \$ 6,086		
Goal(s)	To provide leadership training for public housing youth						
Objectives	To provide peer leaders for public housing youth						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. Project Youth training leadership			7/1/01	6/30/02	5,600	-0-	# of youth trained
2. Travel			7/1/01	6/30/02	486	-0-	Travel expensed
3.							

Section 3: Expenditure/Obligation Milestones

Indicate by Budget Line Item and the Proposed Activity (based on the information contained in Section 2 PHDEP Plan Budget and Goals), the % of funds that will be expended (at least 25% of the total grant award) and obligated (at least 50% of the total grant award) within 12 months of grant execution.

Budget Line Item #	25% Expenditure of Total Grant Funds By Activity #	Total PHDEP Funding Expended (sum of the activities)	50% Obligation of Total Grant Funds by Activity #	Total PHDEP Funding Obligated (sum of the activities)
<i>e.g Budget Line Item # 9120</i>	<i>Activities 1, 3</i>		<i>Activity 2</i>	
9110	Activity #1-100%	71,222		71,222
9120				-0-
9130				-0-
9140	#1 – 100%	2,490		2,490
9150				-0-
9160	#1; #2; - 100%	85,341		85,341
9170	#1; #2; #3; - 100%	61,880		61,880
9180				-0-
9190	#1; #2 – 100%	6,086		6,086
TOTAL		\$227,019		\$227,019

Section 4: Certifications

A comprehensive certification of compliance with respect to the PHDEP Plan submission is included in the “PHA Certifications of Compliance with the PHA Plan and Related Regulations.”

ATTACHMENT ny006e01

**MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA
DEFINITION OF SUBSTANTIAL DEVIATION AND SIGNIFICANT
AMENDMENT OR MODIFICATION**

Substantial deviations or significant amendments or modifications are defined as discretionary changes in the plans or policies of the Municipal Housing Authority of the City of Utica that fundamentally change the mission, goals, objectives, or plans of the agency and which require formal approval of the Board of Commissioners.

Attachment ny006f01

Municipal Housing Authority of the City of Utica

Pet Policy Statement

The Municipal Housing Authority of the City of Utica allows for pet ownership in its developments with the written pre-approval of the Housing Authority.

The Municipal Housing Authority of the City of Utica adopts the following reasonable requirements as part of the Pet Policy:

1. Residents are responsible for any damage caused by their pets, including the cost of fumigating or cleaning their units.
2. In exchange for this right, resident assumes full responsibility and liability for the pet and agrees to hold the Municipal Housing Authority of the City of Utica harmless from any claims caused by an action or inaction of the pet.
3. Residents must have the prior written approval of the Housing Authority before moving a pet into their unit.
4. Residents must request approval on the Authorization for Pet Ownership Form that must be fully completed before the Housing Authority will approve the request.
5. Residents must give the Housing Authority a picture of the pet so it can be identified if it is running loose.
6. A pet deposit of \$350 is required at the time of registering a pet.
7. The Municipal Housing Authority of the City of Utica will allow only common household pets. This means only domesticated animals such as a dog, cat, bird, rodent (including a rabbit), fish in aquariums or a turtle will be allowed in units. Common household pets do not include reptiles (except turtles).

All dogs and cats must be spayed (female) or neutered (male) before they become six months old. A licensed veterinarian must verify this fact.

Only one pet per unit will be allowed according to this schedule.

Any animal deemed to be potentially harmful to the health or safety of others, including attack or fight trained dogs, will not be allowed (Rottweilers, pit bulls, dobermans, chows)

No animal may exceed forty (40) pounds in weight projected to full adult size.

8. Dogs and cats must be kept on a lease accompanied by the owner at all times when outside the unit. Pets are not to be left outside by themselves.

9. No guests are allowed to bring pets on community premises (no pet sitting).
10. Pets shall not be permitted in any common areas within the buildings except when directly leaving and entering the building.
11. Before acquiring a pet, the resident must also provide the Project Manager with a notarized statement signed by the resident and his representative who will be responsible for the care of the residents' pet in case of the residents' illness, hospitalization, death or other emergency.
12. In order to be registered, pets must be appropriately inoculated against rabies, distemper and other conditions prescribed by state and/or local ordinances. They must comply with all other state and local public health, animal control, and anti-cruelty laws including any licensing requirements. A certification signed by a licensed veterinarian or state or local official shall be annually filed with the Municipal Housing Authority of the City of Utica to attest to the inoculations.
13. The Municipal Housing Authority of the City of Utica, or an appropriate community authority, shall require the removal of any pet from a project if the pet's conduct or condition is determined to be a nuisance or threat to the health or safety of other occupants of the project or of other persons in the community where the project is located.

Attachment ny006g01

Municipal Housing Authority of the City of Utica

Implementation of Public Housing Resident Community Service Requirements

The administrative steps that we will take to implement the Community Service Requirements include the following:

1. Development of Written Description of Community Service Requirement:

The Municipal Housing Authority of the City of Utica has a written developed policy of Community Service Requirements as a part of the Admissions and Continued Occupancy Policy and has completed the required Resident Advisory Board review and public comment period.

2. Scheduled Changes in Leases:

The Municipal Housing Authority of the City of Utica has made the necessary changes to the lease and has completed the required Resident Advisory Board review and public comment period.

3. Written Notification to Residents of Exempt Status to each Adult Family Member:

The Municipal Housing Authority of the City of Utica will notify residents at the time of their recertification.

4. Cooperative Agreements with TANF Agencies:

The Municipal Housing Authority of the City of Utica has a Cooperative Agreement with the TANF Agency (Oneida County Department of Social Services).

5. Programmatic Aspects:

Community service includes performing work or duties in the public benefit that serve to improve the quality of life and/or enhance resident self-sufficiency, and/or increase the self-responsibility of the resident within the community.

An economic self sufficiency program is one that is designed to encourage, assist, train or facilitate the economic independence of participants and their families or to provide work for participants. These programs may include programs for job training, work placement, basic skills training, education, English proficiency, work fare, financial or household management, apprenticeship, and any program necessary to ready a participant to work (such as substance abuse or mental health treatment).

The Municipal Housing Authority of the City of Utica will coordinate with social service agencies, local schools, and the Human Resources Office in identifying a list of volunteer community service positions.

Together with the Resident Advisory Board, the Municipal Housing Authority of the City of Utica may create volunteer positions such as, litter patrols, and supervising and record keeping for volunteers.

Attachment ny006h01

Municipal Housing Authority of the City of Utica

Statement of Progress in Meeting the 5-Year Plan Mission and Goals

The following table reflects the progress we have made in achieving our goals and objectives:

GOAL ONE: EXPAND THE SUPPLY OF ASSISTED HOUSING	
Objective	Progress
Apply for additional rental vouchers:	We will apply as NOFAs are issued
Reduce public housing vacancies:	We have started preparation of a marketing plan
Leverage private or other public funds to create additional housing opportunities:	We have executed a contract with a consultant to apply for HOPE VI revitalization funds in FFY 2001.
Acquire or build units or developments	We are preparing a HOPE VI Revitalization application.

GOAL TWO: IMPROVE THE QUALITY OF ASSISTED HOUSING	
Objective	Progress
Concentrate on efforts to improve specific management functions: (list; e.g., public housing finance; voucher unit inspections)	All Section 8 inspections are accomplished on a timely basis.
Renovate or modernize public housing units:	On going at several of our developments.
Demolish or dispose of obsolete public housing:	We are applying for HOPE VI. The demolition application is being prepared
Provide replacement public housing: Provide replacement vouchers:	We will apply as NOFAs are issued

GOAL THREE: INCREASE ASSISTED HOUSING CHOICES	
Objective	Progress
Provide voucher mobility counseling	We provide counseling to applicants and participants; portability residents
Conduct outreach efforts to potential voucher landlords	We have an adequate listing of landlords to provide applicants or participants
Increase voucher payment standards Implement public housing or other homeownership programs:	We are currently utilizing 100% FMRs We are considering implementing homeownership programs.
Implement public housing site-based waiting lists	Not yet implemented. Under consideration

GOAL FOUR: PROVIDE AN IMPROVED LIVING ENVIRONMENT	
Objective	Progress
Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:	We have incorporated the HUD requirements into our ACOP and will at least annually review the income levels of each applicable development to ensure compliance
Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:	Same as above. Our ACOP provides that 40% of new admissions will be less than 30% of median income.
Implement public housing security improvements:	We provide for increased security through presence of law enforcement above base line services utilizing PHDEP funds: we are continually upgrading our properties utilizing capital funds and consider the need for physical improvements to enhance security

GOAL FIVE: PROMOTE SELF-SUFFICIENCY AND ASSET DEVELOPMENT OF ASSISTED HOUSEHOLDS	
Objective	Progress
Increase the number and percentage of employed persons in assisted families:	On going efforts of Welfare-to-Work are being furthered by a recently funded ROSS grant
Provide or attract supportive services to improve assistance recipients' employability:	We have established an on going network of bi-weekly meetings with area agencies

GOAL SIX: MANAGE THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S PUBLIC HOUSING PROGRAM IN AN EFFICIENT AND EFFECTIVE MANNER	
Objective	Progress
1. HUD shall recognize the Municipal Housing Authority of the City of Utica as a standard performer under PHAS for our fiscal year ending June 30, 2001.	NA this reporting period
2. HUD shall recognize the Municipal Housing Authority of the City of Utica as a high performer under PHAS for our fiscal year ending June 30, 2002 and each year thereafter.	NA this reporting period
3. The Municipal Housing Authority of the City of Utica shall promote a motivating work environment with a capable and efficient team of employees to operate as a customer-friendly and fiscally prudent leader in the affordable housing industry. This will be accomplished through leadership and program training, employee and program evaluations.	In house supervisory training is being planned. The clerical and maintenance union has accepted Management's request for employee evaluations.

GOAL SEVEN: EXPAND THE RANGE AND QUALITY OF HOUSING CHOICES AVAILABLE TO PARTICIPATE IN OUR TENANT-BASED RENT SUBSIDY PROGRAM	
Objective	Progress
1. The Municipal Housing Authority of the City of Utica shall maintain a utilization rate of ninety-five (95%) percent in its tenant-based program through June 30, 2005.	Our utilization rate is currently 97% and exceeds our objective.
2. The Municipal Housing Authority of the City of Utica shall attract ten (10) new landlords who want to participate in the tenant-based assistance program. This objective will be accomplished by June 30, 2005.	We will be conducting owner outreach to new landlords during the ensuing fiscal year.

GOAL EIGHT: MANAGE THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S TENANT-BASED RENT SUBSIDY PROGRAMS IN AN EFFICIENT AND EFFECTIVE MANNER	
Objective	Progress
1. HUD shall recognize Municipal Housing Authority of the City of Utica as a standard performer under SEMAP for our fiscal year ending June 30, 2001.	NA this reporting period
2. HUD shall recognize the Municipal Housing Authority of the City of Utica as a high performer under SEMAP for our fiscal year ending June 30, 2002 and each year thereafter.	NA this reporting period

GOAL NINE: MAINTAIN THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S PROPERTIES IN A DECENT CONDITION

Objective	Progress
<p>1. The Municipal Housing Authority of the City of Utica will deliver timely and high quality maintenance services to the residents. This is an on-going objective.</p>	<p>A new apartment preparation checklist is being prepared. New preventive maintenance software is being sought out.</p>
<p>2. The Municipal Housing Authority of the City of Utica will maintain an appealing, up to date environment it its developments. This is an on-going objective.</p>	<p>Housing Managers will soon have oversight of grounds maintenance thereby increasing the responsiveness to curb appeal</p>
<p>3. The Municipal Housing Authority of the City of Utica shall implement and maintain a policy for the eradication and prevention of pest infestation (including cockroach infestation). This objective will be accomplished by June 30, 2001.</p>	<p>The contract exists for this service.</p>

GOAL TEN: ENHANCE THE MARKETABILITY OF THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S PUBLIC HOUSING UNITS

Objective	Progress
<p>1. The Municipal Housing Authority of the City of Utica shall achieve a level of customer satisfaction that gives the agency the highest score possible in this element of the Public Housing Assessment System for the Fiscal Year ending June 30, 2005.</p>	<p>A several point plan is being formulated</p>
<p>2. The Municipal Housing Authority of the City of Utica shall achieve proper curb appeal for its public housing developments by adequately landscaping, keeping its grass cut, making the properties litter-free and other actions. This is an on-going objective.</p>	<p>The maintenance reorganization should improve curb appeal by placing authority for curb appeal with the Housing Managers.</p>

GOAL ELEVEN: IMPROVE ACCESS OF PUBLIC HOUSING RESIDENTS TO SERVICES THAT SUPPORT ECONOMIC OPPORTUNITY AND QUALITY OF LIFE	
Objective	Progress
1. The Municipal Housing Authority of the City of Utica shall assist its resident organizations in strengthening their capacity and effectiveness. This objective will be accomplished by June 30, 2005.	The Housing Authority is assisting the resident organization "Pillars of Life" in obtaining Sec. 501 © 3 status.

GOAL TWELVE: PROVIDE SAFE AND SECURE ENVIRONMENT IN THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S PUBLIC HOUSING DEVELOPMENTS	
Objective	Progress
1. The Municipal Housing Authority of the City of Utica shall reduce crime in its developments. This is an on-going objective.	A new security procedures manual is being prepared.

Required Attachment ny006j01: Membership of the Resident Advisory Board or Boards

- i. List members of the Resident Advisory Board or Boards: (If the list would be unreasonably long, list organizations represented or otherwise provide a description sufficient to identify how members are chosen.)

Linda Mesagna

Honey Bouse

Mary Gazzilli

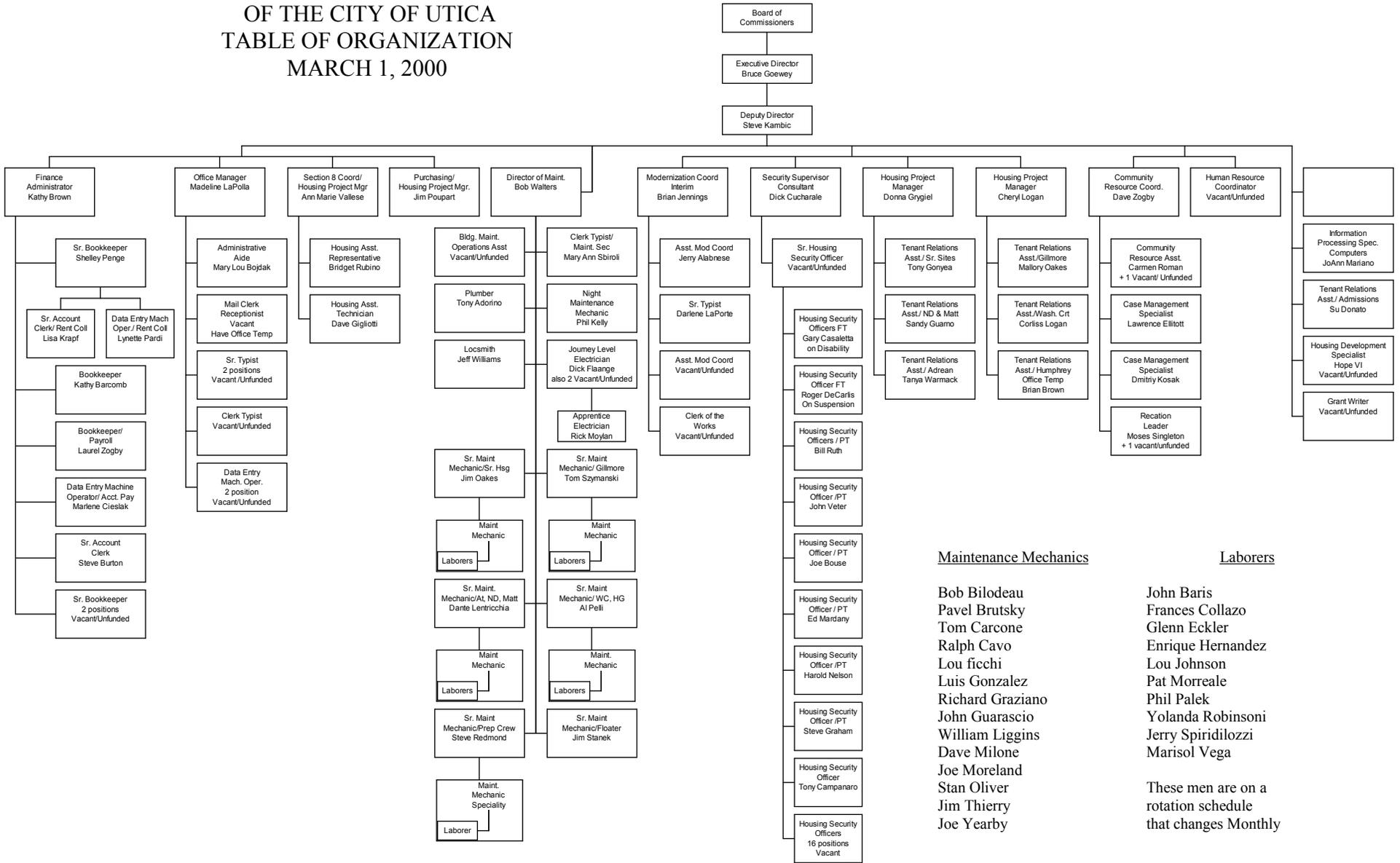
Ricarda Mitchell

Eltheria Singleton

Antonia Parhomchuk

Karen Retamar

MUNICIPAL HOUSING AUTHORITY
OF THE CITY OF UTICA
TABLE OF ORGANIZATION
MARCH 1, 2000



Maintenance Mechanics

- Bob Bilodeau
- Pavel Brutsky
- Tom Carcone
- Ralph Cavo
- Lou ficchi
- Luis Gonzalez
- Richard Graziano
- John Guarascio
- William Liggins
- Dave Milone
- Joe Moreland
- Stan Oliver
- Jim Thierry
- Joe Yearby

Laborers

- John Baris
 - Frances Collazo
 - Glenn Eckler
 - Enrique Hernandez
 - Lou Johnson
 - Pat Morreale
 - Phil Palek
 - Yolanda Robinsoni
 - Jerry Spiridillozzi
 - Marisol Vega
- These men are on a rotation schedule that changes Monthly

Attachment ny006101

**Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part 1: Summary**

PHA Name: Municipal Housing Authority of the City of Utica	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: NY06P00650101	Federal FY of Grant: 2001
--	---	----------------------------------

Original Annual Statement Reserve for Disasters/ Emergencies Revised Annual Statement (revision no:)
 Performance and Evaluation Report for Period Ending: Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations				
3	1408 Management Improvements Soft Costs				
	Management Improvements Hard Costs				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures	254,570			
11	1465.1 Dwelling Equipment— Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				

Annual Statement/Performance and Evaluation Report

Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part 1: Summary

PHA Name: Municipal Housing Authority of the City of Utica	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: NY06P00650101	Federal FY of Grant: 2001
--	---	----------------------------------

Original Annual Statement
 Reserve for Disasters/ Emergencies
 Revised Annual Statement (revision no:)
 Performance and Evaluation Report for Period Ending:
 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
18	1499 Development Activities				
19	1502 Contingency				
21	Amount of Annual Grant: (sum of lines.....)	254,570			
	Amount of line 21 Related to LBP Activities				
	Amount of line 21 Related to Section 504 compliance				
	Amount of line 21 Related to Security –Soft Costs				
	Amount of Line 21 related to Security-- Hard Costs				
	Amount of line 21 Related to Energy Conservation Measures	25,457			
	Collateralization Expenses or Debt Service				

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part III: Implementation Schedule

PHA Name: Municipal Housing Authority of the City of Utica		Grant Type and Number Capital Fund Program No: Replacement Housing Factor No: NY06P00650101					Federal FY of Grant: 2001
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
NY006-2 N.D. Peters Manor	06/30/03			06/30/04			

Annual Statement/

Performance and Evaluation

Part II:
Supporting Pages

Comprehensive Grant Program (CGP)

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

FY1998

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost	
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)
NY06P006001	SITE WORK(LANDSCAPING)	1450	1 Dev.	0.00		0.00	0.00
ADREAN	EXTERIOR DETAILING OF BUILDING	1460	22 BLDGS.	0.00		0.00	0.00
TERRACE	(PAINTING & CAULKING)						
	HEATING	1460	210 UNITS	367.94		367.94	367.94
	RADIATOR COVERS	1460	210 UNITS	282,550.00		282,550.00	282,550.00
	WEATHERSTRIPPING (DOORS)	1460	210 UNITS	0.00		0.00	0.00
	COMMUNITY ROOM RENOVATIONS	1470	1 DEV.	0.00		0.00	0.00
	CRAWL SPACE/BASEMENT LIGHTING	1470	1 DEV.	0.00		0.00	0.00
	NON-DWELLING EQUIPMENT (RESIDENT TRAINING)	1475	12	0.00		0.00	0.00
	SUBTOTAL			282,917.94	0.00	282,917.94	282,917.94
NY06P006002	SITE IMPROVEMENT	1450	8 BLDGS.	4,025.00		4,025.00	4,025.00
N.D. PETERS MANOR	APARTMENT RENOVATIONS (DOORS, FLOORS, KITCHENS,	1460	8 BLDGS.	585,097.51		585,097.51	508,397.00

	BATHS)						
	RELOCATION	1495	20 UNITS	0.00		0.00	0.00
	SUBTOTAL			589,122.51	0.00	589,122.51	512,422.00

(1) To be completed for Performance and Evaluation Report or a Revised Annual Statement.

(2) To be completed for the Performance and Evaluation Report.

Signature of Executive Director and Date

Signature of Public Housing Director/Office of Native American Programs Administrator and Date

DATE:

Annual Statement/ Performance and Evaluation
Part II: Supporting Pages
Comprehensive Grant Program (CGP)

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

FY1998

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost	
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)
NY06P006004	SITE ACQUISITION	1440	1	67,000.00		67,000.00	67,000.00
PERRETTA	SITE WORK (RECONSTRUCT	1450	1 DEV.	0.00		0.00	0.00
TWIN TOWERS	PARKING LOTS AND EXTERIOR HANDRAILS)						
	APARTMENT RENOVATIONS	1460	1 DEV.	4,369.55		4,369.55	4,369.55

Statement. _____ Report.

Signature of Executive Director and Date

Signature of Public Housing Director/Office of Native American Programs Administrator and Date

Annual Statement/ Performance and Evaluation
 Part II: Supporting Pages
 Comprehensive Grant Program (CGP)

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

FY1998

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost	
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)
ADMINISTRATION	(A) Mod. Coordinator, Asst. Mod. Coordinator, Sr. Bookkeeper, Sr. Typist, Executive Director	1410	5	168,209.00		168,209.00	59,019.61
	(B) Benefits	1410	5	69,000.00		69,000.00	28,662.76
	SUBTOTAL			237,209.00	0.00	237,209.00	87,682.37
FEES & COSTS	A&E Services/Land Surveys	1430	4	254,267.00	191,512.64	191,512.64	161,297.48

	SUBTOTAL			254,267.00	191,512.64	191,512.64	161,297.48
	GRAND TOTAL			2,372,097.00	646,654.35	2,372,097.00	2,085,341.61

(1) To be completed for Performance and Evaluation Report or a Revised Annual Statement.

Signature of Executive Director and Date

(2) To be completed for the Performance and Evaluation Report.

Signature of Public Housing Director/Office of Native American Programs Administrator and Date

Attachment ny006n01

Component 3, (6) Deconcentration and Income Mixing

- a. Yes No: Does the PHA have any general occupancy (family) public housing developments covered by the deconcentration rule? If no, this section is complete. If yes, continue to the next question.
- b. Yes No: Do any of these covered developments have average incomes above or below 85% to 115% of the average incomes of all such developments? If no, this section is complete.

If yes, list these developments as follows:

Deconcentration Policy for Covered Developments			
Development Name:	Number of Units	Explanation (if any) [see step 4 at §903.2(c)(1)(iv)]	Deconcentration policy (if no explanation) [see step 5 at §903.2(c)(1)(v)]
Duplex Homes	10 units	Self-sufficiency strategies on Scattered sites	

Attachment ny006o01

Municipal Housing Authority of the City of Utica

Resident Comments and Housing Authority Response

The following comments and responses were made at the Resident Advisory Board meeting held March 7, 2001.

Resident Comments:

Comment 1 – A resident asked if many of the residents, especially in the senior developments prefer not to have pets in their developments, can the residents institute a petition to that effect? When the residents have enough signatures on the petition, can it be presented to the MHA Board of Commissioners and to HUD officials, so as to indicate their displeasure with this new pet policy?

Comment 2: In regards to the fraud policy, will this revised policy aid residents now residing in Public Housing, from having new residents admitted who are not of the right character for our developments? Will it also help us to remove residents from our developments who are or become unacceptable?

Comment 3: A resident asked if parking in other than your assigned parking place or having your visitors park in parking spaces belonging to other residents, especially in the senior developments, be constituted as committing a fraudulent act against your neighbors? Many of the residents are having this problem.

Comment 4: A resident asked how charges to residents are determined. How does MHA establish who is responsible for these charges being made to the resident? In other words, if there is a plumbing problem in the building, how can you prove a certain resident in a certain apartment is responsible?

Housing Authority Response:

Response to Comment 1: It is a Federal Law and has been stated by HUD's guidelines, that a resident in Public Housing be allowed to have a pet. However, should the tenants as a group decide to institute a petition and secure signatures on the petition stating they don't want pets in their development, tenants may present it to the Board of Commissioners for their consideration.

Response to Comment 2: It is very difficult to not admit a resident because some other tenants may feel he/she or they are unacceptable for entry into their development. We have an excellent interviewing formula that is used by our Admissions Department, along with having a hearing with our Suitability Committee, before a resident is accepted into our Public Housing family. However, situations may occur beyond our control after admittance that may call for eviction of certain tenants, this we have no control over. However, we at MHA strive for the welfare of all of our residents when we interview future residents for admittance and take everything into

consideration when reviewing applicants. All applicants and residents must meet the suitability criteria outlined in our Admissions and Continued Occupancy Policy.

Response to Comment 3: Hopefully, because of this question, you can see and understand why it is very difficult to have assigned parking in any of our developments. Assigned parking causes many residents to be upset with each other, which does not constitute pleasant living conditions. We at MHA prefer not to have assigned parking for specifically this reason. We, at MHA, don't feel that this constitutes a fraudulent act, unless it is constantly and intentionally done to certain residents by certain residents. However, to aid the residents having this problem, we will assign visitor parking spaces and put up visitor parking signs. Hopefully, this will help people who are visiting know where they are allowed to park their cars.

Response to Comment 4: Should a problem be caused that affects the entire building, no one resident will be responsible. MHA will assume the cost for the repairs. However, if our maintenance is called to your apartment because of a plumbing problem and it is discovered that the problem is because a toy, for example, was flushed down the toilet, then the resident will be charged. Should the problem be discovered to be a cracked pipe, the the Housing Authority is responsible.

**Annual
Statement
/Performa
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Evaluatio
n Report
Compreh
ensive
Grant
Program
(CGP)
Part I:
Summary**

**U.S.
Departme
nt of
Housing**

OMB Approval No. 2577-0157
(exp. 7/31/98)

**and
Urban
Developm
ent**

**Office of
Public
Housing**

HA Name: Municipal Housing Authority of the City of Utica, New York	Comprehensive Grant number NY0P0067079 8	FFY of Grant Approval 1998			
<table border="0"> <tr> <td data-bbox="205 1166 493 1226"> <input type="checkbox"/> Original Annual Statement </td> <td data-bbox="493 1166 871 1226"> <input type="checkbox"/> Reserve for Disaster/Emergencies </td> <td data-bbox="871 1166 1360 1375"> <input type="checkbox"/> Revised Annual Statement /Revision Number <input type="checkbox"/> <input checked="" type="checkbox"/> X Performance and Evaluation Report for Program Year </td> </tr> </table>			<input type="checkbox"/> Original Annual Statement	<input type="checkbox"/> Reserve for Disaster/Emergencies	<input type="checkbox"/> Revised Annual Statement /Revision Number <input type="checkbox"/> <input checked="" type="checkbox"/> X Performance and Evaluation Report for Program Year
<input type="checkbox"/> Original Annual Statement	<input type="checkbox"/> Reserve for Disaster/Emergencies	<input type="checkbox"/> Revised Annual Statement /Revision Number <input type="checkbox"/> <input checked="" type="checkbox"/> X Performance and Evaluation Report for Program Year			

Ending
12/31/2000_

Final
Performance
and
Evaluation
Report

Line No.	Summary by Developme nt Account	Total Estimated Cost Original	Revised(1)	Total Actual Cost(2) Obligated	Expended
1	Total Non-CGP Funds	\$-		\$-	\$-
2	1406 Operation s (May not exceed 10% of line 19)	\$-		\$-	\$-
3	1408 Manage ment Improve ments	\$392,387.35	\$455,141.71	\$455,141.71	\$424,828.62
4	1410 Administ ration	\$237,209.00		\$237,209.00	\$87,682.37
5	1411 Audit	\$-		\$-	\$-
6	1415 Liquidate d Damages	\$-		\$-	\$-
7	1430 Fees and	\$254,267.00	\$191,512.64	\$191,512.64	\$161,297.48

	Costs				
8	1440 Site Acquisition	\$67,000.00		\$67,000.00	\$67,000.00
9	1450 Site Improvement	\$4,025.00		\$4,025.00	\$4,025.00
10	1460 Dwelling Structures	\$908,925.41		\$908,925.41	\$832,224.90
11	1465 Dwelling Equipment- Nonexpendable	\$-		\$-	\$-
12	1470 Nondwelling Structures	\$258,008.78		\$258,008.78	\$258,008.78
13	1475 Nondwelling Equipment	\$65,792.69		\$65,792.69	\$65,792.69
14	1485 Demolition	\$184,481.77		\$184,481.77	\$184,481.77
15	1490 Replacement Reserves	\$-		\$-	\$-

16	1495.1Relocation Costs	\$-		\$-	\$-
17	1498 Mod Used For Development	\$-		\$-	\$-
18	1502 Contingency (may not exceed 8% of line 19)	\$-		\$-	\$-
19	Amount of Annual Grant (Sum of lines 2-18)	\$2,372,097.00	\$646,654.35	\$2,372,097.00	\$2,085,341.61
20	Amount of Line 19 Related to LBP Activities	\$100,000.00			
21	Amount of Line 19 Related to Section 504 Compliance	\$50,000.00			
22	Amount of Line 19	\$150,000.00			

23	Related to Security				
	Amount of Line 19 Related to Energy Conservation Measures	\$759,000.00			
Signature of Executive Director and Date		Signature of Public Housing director/Office of Native Programs Administrator and Date.			

1 To be completed for the Performance and Evaluation Report or a Revised Annual Statement
 2 To be completed for the Performance and Evaluation Report

from HUD-52837 (10/96)

ref Handbook 7485.3

**Annual
Statement**
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**U.S.
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from HUD-52837 (01/05/95)
ref Handbook 7485.3

Performance and Evaluation Report

Part I: Summary

Comprehensive Grant Program (CGP) 1995-96

**Department of Housing and Urban Development
Office of Public Housing**

OMB Approval No. 2577-0157 (Exp. 7/31/96)

PHA/HA Name Municipal Housing Authority of the City of Utica, New York	Comprehensive Grant number NY0P0067049 5	FFY of Grant Approval 1995	
<input type="checkbox"/> Original Annual Statement	<input type="checkbox"/> Reserve for Disaster/Emergencies	<input type="checkbox"/> Revised Annual Statement/Report	Performance & evaluation Report for Program Year Ending

Line No.	Summary by Developme nt Account	Total Estimated Cost		Total Actual Cost(2) Obligated	Expended
		Original	Revised(1)		
1	Total Non-CGP Funds	\$-			
2	1408 Manage ment Improve ments	\$273,100			
3	1410 Administra tion	\$228,000			
4	1411 Audit	\$-			
5	1415 Liquidate d Damages	\$-			
6	1430 Fees and Costs	\$104,000			
7	1440 Site Acquisitio n	\$-			
8	1450 Site	\$414,000			

	Improve ment				
9	1460 Dwelling Structure s	\$1,647,801			
10	1465 Dwelling Equipme nt- Nonexpe ndable	\$-			
11	1470 Nondwelli ng Structure s	\$-			
12	1475 Nondwelli ng Equipme nt	\$73,640			
13	1495.1 Relocatio n Costs	\$50,000			
14	1490 Replace ment Reserves	\$-			
15	1502 Continge ncy (may not exceed 8% of line 16)	\$-			

16	Amount of Annual Grant (Sum of lines 2-15)	\$2,790,541			
17	Amount of Line 16 Related to LBP Activities	\$274,500			
18	Amount of Line 16 Related to Section 504 Compliance	\$85,000			
19	Amount of Line 16 Related to Security	\$35,000			
20	Amount of Line 16 Related to Energy Conservation Measures	\$170,000			
1) To be completed for the Performance and Evaluation Report or a Revised		(2) To be completed for the Performance and Evaluation Report			

Annual Statement	
Signature of Executive Director and Date	Signature of Public Housing director/Office of Native Programs Administrator and Date.

from HUD-52837 (01/05/95)

ref Handbook 7485.3

**Annual
Statement
/**

**Performa
nce and
Evaluatio
n Report
Part I:
Summary**

**U.S.
Departme
nt of
Housing
and
Urban
Developm
ent
Office of
Public
Housing**

**Comprehensive
Grant
Program
(CGP)
1995-96**

OMB Approval
No. 2577-0157
(Exp. 7/31/96)

PHA/HA Name Municipal Housing Authority of the City of Utica, New York	Comprehensive Grant number NY0P0 067059 6	FFY of Grant Approval 1996
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disaster/Emergencies <input checked="" type="checkbox"/> Revised Annual Statement <input checked="" type="checkbox"/> Performance and Evaluation Report for Program Year Ending 1994 <input checked="" type="checkbox"/> Final Performance and Evaluation Report		
	Total Estimated Cost	Total Actual Cost(2)

Line No.	Summary by Developme nt Account	Original	Revised(1)	Obligated	Expended
1	Total Non-CGP Funds	\$-			
2	1408 Manage ment Improve ments	\$195,000			
3	1410 Administ ration	\$239,873			
4	1411 Audit	\$-			
5	1415 Liquidate d Damages	\$-			
6	1430 Fees and Costs	\$50,000			
7	1440 Site Acquisitio n	\$-			
8	1450 Site Improve ment	\$115,000			
9	1460 Dwelling Structure s	\$1,286,865			
10	1465	\$-			

	Dwelling Equipme nt- Nonexpe ndable				
11	1470 Nondwelli ng Structure s	\$402,000			
12	1475 Nondwelli ng Equipme nt	\$110,000			
13	1495.1 Relocatio n Costs	\$-			
14	1490 Replace ment Reserves	\$-			
15	1502 Continge ncy (may not exceed 8% of line 16)	\$-			
16	Amount of Annual Grant (Sum of lines 2- 15)	\$2,398,7 38	\$-	\$-	\$-

17	Amount of Line 16 Related to LBP Activities	\$300,000			
18	Amount of Line 16 Related to Section 504 Compliance	\$400,000			
19	Amount of Line 16 Related to Security	\$350,000			
20	Amount of Line 16 Related to Energy Conservation Measures	\$440,365			
1) To be completed for the Performance and Evaluation Report or a Revised Annual Statement		(2) To be completed for the Performance and Evaluation Report			
Signature of Executive Director and Date		Signature of Public Housing director/Office of Native Programs Administrator and Date.			

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Bunsrs				L,MUMM58M77		3777	
ADRE Epuvsn	EXTERIOR DETAILING OF BUILDING	1470	1 Dev.	5,000.00		0.00	0.00
TERRACE							
AutYp.s							
tR pE							
tYe FstR							
pD							
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	SUBTOTAL			29,000.00	0.00	24,000.00	24,000.00
			pe4P				
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Annual Statement/
Performance and Evaluation
Part II:
Supporting Pages
Comprehensive Grant Program (CGP)

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

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost	
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)
NY06P006010	EXTERIOR DOOR UPGRADES	1460	1 DEV.	58,500.00		48,500.00	48,500.00
WASHINGTON	EXTERIOR DETAILING OF BULIDING	1470	1 DEV.	5,000.00		0.00	0.00
COURTS							
	SUBTOTAL			63,500.00	0.00	48,500.00	48,500.00
NY06P006010	COMMON HALLWAY RENOVATION	1470	1 DEV.	10,000.00		0.00	0.00
F.X. MATT							

Account Number	Activity	Quantity	Original Estimated Cost	Total Actual Cost	Funds Expended(2)
86	Development	1	55,600.00	55,600.00	0.00
	(A) SITE MANAGEMENT SYSTEM: Develop and implement a Site Management System to revise leases so as to enhance marketability, establish new tenant integrity procedures, and incorporate performance accountability for improved PHMAP scores.	1408			
	(B) PREVENTATIVE MAINTENANCE SYSTEM: Develop and implement a Preventative Maintenance System to integrate procedures of the Maintenance.	1408	66,000.00	66,000.00	0.00
	MANAGEMENT IMPROVEMENT				

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(1) To be completed for Performance and Evaluation Report or a Revised Annual Statement.

Signature of Executive Director and Date

(2) To be completed for the Performance and Evaluation Report.

Signature of Public Housing Director/Office of Native American Programs Administrator and Date

**Annual
Statement
/Performa
nce and
Evaluatio
n Report
Compreh
ensive
Grant
Program
(CGP)
Part I:
Summary**

**U.S.
Departme
nt of
Housing**

OMB Approval No. 2577-0157
(exp. 7/31/98)

**and
Urban
Developm
ent**

**Office of
Public
Housing**

HA Name: Municipal Housing Authority of the City of Utica, New York	Comprehensive Grant number NY0P0067099 9	FFY of Grant Approval 1999
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<input type="checkbox"/> Original Annual Statement	<input type="checkbox"/> Reserve for Disaster/Emergencies	<input type="checkbox"/> Revised Annual Statement /Revision Number <input type="checkbox"/> <input checked="" type="checkbox"/> Performance and Evaluation Report for
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Program Year
Ending
12/31/2000_

___ Final
Performance
and
Evaluation
Report

Line No.	Summary by Developme nt Account	Total Estimated Cost Original	Revised(1)	Total Actual Cost(2) Obligated	Expended
1	Total Non-CGP Funds	\$-		\$-	\$-
2	1406 Operation s (May not exceed 10% of line 19)	\$-		\$-	\$-
3	1408 Manage ment Improve ments	\$-		\$-	\$-
4	1410 Administ ration	\$-		\$-	\$-
5	1411 Audit	\$-		\$-	\$-
6	1415 Liquidate d Damages	\$-		\$-	\$-
7	1430 Fees and	\$-		\$-	\$-

	Costs				
8	1440 Site Acquisition	\$-		\$-	\$-
9	1450 Site Improvement	\$-		\$-	\$-
10	1460 Dwelling Structures	\$72,513.00		\$-	\$-
11	1465 Dwelling Equipment- Nonexpendable	\$-		\$-	\$-
12	1470 Nondwelling Structures	\$-		\$-	\$-
13	1475 Nondwelling Equipment	\$-		\$-	\$-
14	1485 Demolition	\$-		\$-	\$-
15	1490 Replacement Reserves	\$-		\$-	\$-

16	1495.1Re location Costs		\$-		\$-	\$-
17	1498 Mod Used For Develop ment		\$-		\$-	\$-
18	1502 Continge ncy (may not exceed 8% of line 19)		\$-		\$-	\$-
19	Amount of Annual Grant (Sum of lines 2- 18)		\$72,513.00		\$-	\$-
20	Amount of Line 19 Related to LBP Activites		\$-			
21	Amount of Line 19 Related to Section 504 Complian ce		\$-			
22	Amount of Line 19		\$-			

23	Related to Security				
	Amount of Line 19 Related to Energy Conservation Measures		\$-		
Signature of Executive Director and Date		Signature of Public Housing director/Office of Native Programs Administrator and Date.			

from HUD-52837 (10/96)

1 To be completed for the Performance and Evaluation Report or a Revised Annual Statement

Part I: Summary

Office of Public Housing

OMB Approval No. 2577-0157 (Exp. 7/31/96)

Comprehensive Grant Program (CGP) 1995-96

PHA/HA Name Municipal Housing	Comprehensive Grant number NY0P0067049 5	FFY of Grant Approval 1995
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**Authori
ty of
the City
of
Utica,
New
York**

___ Original Annual Statement Final Performance and Evaluation Report	___ Reserve for Disaster/Emergencies	___ Revised Annual Statement/Revision Number 1	Performance & evaluation Report for Program Year Ending _____
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Line No.	Summary by Development Account	Total Estimated Cost Original	Revised(1)	Total Actual Cost(2) Obligated	Expended
1	Total Non-CGP Funds	\$-			
2	1408 Management Improvements	\$273,100			
3	1410 Administration	\$228,000			
4	1411 Audit	\$-			
5	1415 Liquidate	\$-			

	d Damages				
6	1430 Fees and Costs	\$104,000			
7	1440 Site Acquisitio n	\$-			
8	1450 Site Improve ment	\$414,000			
9	1460 Dwelling Structure s	\$1,647,801			
10	1465 Dwelling Equipme nt- Nonexpe ndable	\$-			
11	1470 Nondwelli ng Structure s	\$-			
12	1475 Nondwelli ng Equipme nt	\$73,640			
13	1495.1 Relocatio n Costs	\$50,000			

14	1490 Replace ment Reserves		\$-			
15	1502 Continge ncy (may not exceed 8% of line 16)		\$-			
16	Amount of Annual Grant (Sum of lines 2- 15)		\$2,790,541			
17	Amount of Line 16 Related to LBP Activites		\$274,500			
18	Amount of Line 16 Related to Section 504 Complian ce		\$85,000			
19	Amount of Line 16 Related to Security		\$35,000			

20	Amount of Line 16 Related to Energy Conservation Measures	\$170,000			
1) To be completed for the Performance and Evaluation Report or a Revised Annual Statement		(2) To be completed for the Performance and Evaluation Report			
Signature of Executive Director and Date		Signature of Public Housing director/Office of Native Programs Administrator and Date.			

Office of
Public
Housing

OMB Approval
No. 2577-0157
(Exp. 7/31/96)

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PHA/ HA Name Mu nici pal Hou sin g Aut hori ty	Comprehen sive Grant number NY0P0 067059 6	FFY of Grant Approval 1996
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	Improvements				
3	1410 Administration	\$239,873			
4	1411 Audit	\$-			
5	1415 Liquidated Damages	\$-			
6	1430 Fees and Costs	\$50,000			
7	1440 Site Acquisition	\$-			
8	1450 Site Improvement	\$115,000			
9	1460 Dwelling Structures	\$1,286,865			
10	1465 Dwelling Equipment- Nonexpendable	\$-			
11	1470 Nondwelling Structures	\$402,000			
12	1475 Nondwelling Equipment	\$110,000			
13	1495.1 Relocation Costs	\$-			
14	1490 Replacement Reserves	\$-			
15	1502 Contingency (may not	\$-			

	exceed 8% of line 16)				
16	Amount of Annual Grant (Sum of lines 2-15)	\$2,398,738	\$-	\$-	\$-
17	Amount of Line 16 Related to LBP Activities	\$300,000			
18	Amount of Line 16 Related to Section 504 Compliance	\$400,000			
19	Amount of Line 16 Related to Security	\$350,000			
20	Amount of Line 16 Related to Energy Conservation Measures	\$440,365			
1) To be completed for the Performance and Evaluation Report or a Revised Annual Statement		(2) To be completed for the Performance and Evaluation Report			
Signature of		Signature of Public Housing			

Executive
Director
and
Date

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director/Office of
Native
Programs
Administratotr
and Date.

**Annual
Statement
/Performa
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Evaluatio
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Compreh
ensive
Grant
Program
(CGP)
Part I:
Summary**

**U.S.
Departme
nt of
Housing**

OMB Approval No. 2577-0157
(exp. 7/31/98)

**and
Urban
Developm
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**Office of
Public
Housing**

HA Name: Municipal Housing Authority of the City of Utica, New York	Comprehensive Grant number NY0P0067089 9	FFY of Grant Approval 1999			
<table border="0"> <tr> <td data-bbox="176 1161 483 1377"> <input type="checkbox"/> Original Annual Statement </td> <td data-bbox="483 1161 871 1377"> <input type="checkbox"/> Reserve for Disaster/Emergencies </td> <td data-bbox="871 1161 1360 1377"> <input type="checkbox"/> Revised Annual Statement /Revision Number <input type="checkbox"/> <input checked="" type="checkbox"/> X Performance and Evaluation Report for </td> </tr> </table>			<input type="checkbox"/> Original Annual Statement	<input type="checkbox"/> Reserve for Disaster/Emergencies	<input type="checkbox"/> Revised Annual Statement /Revision Number <input type="checkbox"/> <input checked="" type="checkbox"/> X Performance and Evaluation Report for
<input type="checkbox"/> Original Annual Statement	<input type="checkbox"/> Reserve for Disaster/Emergencies	<input type="checkbox"/> Revised Annual Statement /Revision Number <input type="checkbox"/> <input checked="" type="checkbox"/> X Performance and Evaluation Report for			

Program Year
Ending
12/31/2000

Final
Performance
and
Evaluation
Report

Line No.	Summary by Development Account	Total Estimated Cost Original	Revised(1)	Total Actual Cost(2) Obligated	Expended
1	Total Non-CGP Funds	\$-		\$-	\$-
2	1406 Operations (May not exceed 10% of line 19)	\$-		\$-	\$-
3	1408 Management Improvements	\$247,500.00		\$247,500.00	\$-
4	1410 Administration	\$258,439.00		\$258,439.00	\$-
5	1411 Audit	\$-		\$-	\$-
6	1415 Liquidated Damages	\$-		\$-	\$-
7	1430 Fees and	\$100,000.00		\$62,762.00	\$12,300.00

	Costs				
8	1440 Site Acquisition	\$-		\$-	\$-
9	1450 Site Improvement	\$30,000.00		\$-	\$-
10	1460 Dwelling Structures	\$1,638,458.00		\$1,229,775.83	\$72,500.00
11	1465 Dwelling Equipment- Nonexpendable	\$-		\$-	\$-
12	1470 Nondwelling Structures	\$220,000.00		\$180,403.63	\$75,403.63
13	1475 Nondwelling Equipment	\$-		\$-	\$-
14	1485 Demolition	\$40,000.00		\$16,258.04	\$16,258.04
15	1490 Replacement Reserves	\$-		\$-	\$-

16	1495.1Relocation Costs	\$50,000.00		\$3,443.67	\$3,443.67
17	1498 Mod Used For Development	\$-		\$-	\$-
18	1502 Contingency (may not exceed 8% of line 19)	\$-		\$-	\$-
19	Amount of Annual Grant (Sum of lines 2-18)	\$2,584,397.00		\$1,998,582.17	\$179,905.34
20	Amount of Line 19 Related to LBP Activities	\$-			
21	Amount of Line 19 Related to Section 504 Compliance	\$-			
22	Amount of Line 19	\$30,000.00			

23	Related to Security				
	Amount of Line 19 Related to Energy Conservation Measures	\$425,000.00			
Signature of Executive Director and Date		Signature of Public Housing director/Office of Native Programs Administrator and Date.			

from HUD-52837 (10/96)

1 To be completed for the Performance and Evaluation Report or a Revised Annual Statement

Part I: Summary

Office of Public Housing

Comprehensive Grant Program (CGP) 1995-96

OMB Approval No. 2577-0157 (Exp. 7/31/96)

PHA/HA Name Municipal Housing	Comprehensive Grant number NY0P0067049 5	FFY of Grant Approval 1995
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**Authori
ty of
the City
of
Utica,
New
York**

___ Original Annual Statement Final Performance and Evaluation Report	___ Reserve for Disaster/Emergencies	___ Revised Annual Statement/Revision Number 1	Performance & evaluation Report for Program Year Ending _____
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Line No.	Summary by Development Account	Total Estimated Cost Original	Revised(1)	Total Actual Cost(2) Obligated	Expended
1	Total Non-CGP Funds	\$-			
2	1408 Management Improvements	\$273,100			
3	1410 Administration	\$228,000			
4	1411 Audit	\$-			
5	1415 Liquidate	\$-			

	d Damages				
6	1430 Fees and Costs	\$104,000			
7	1440 Site Acquisitio n	\$-			
8	1450 Site Improve ment	\$414,000			
9	1460 Dwelling Structure s	\$1,647,801			
10	1465 Dwelling Equipme nt- Nonexpe ndable	\$-			
11	1470 Nondwelli ng Structure s	\$-			
12	1475 Nondwelli ng Equipme nt	\$73,640			
13	1495.1 Relocatio n Costs	\$50,000			

14	1490 Replace ment Reserves		\$-			
15	1502 Continge ncy (may not exceed 8% of line 16)		\$-			
16	Amount of Annual Grant (Sum of lines 2- 15)		\$2,790,541			
17	Amount of Line 16 Related to LBP Activites		\$274,500			
18	Amount of Line 16 Related to Section 504 Complian ce		\$85,000			
19	Amount of Line 16 Related to Security		\$35,000			

20 Amount of Line 16 Related to Energy Conservation Measures	\$170,000			
1) To be completed for the Performance and Evaluation Report or a Revised Annual Statement		(2) To be completed for the Performance and Evaluation Report		
Signature of Executive Director and Date	Signature of Public Housing director/Office of Native Programs Administrator and Date.			

from HUD-52837 (01/05/95)
ref Handbook 7485.3

**Part I:
Summary**

**Comprehensive
Grant
Program
(CGP)
1995-96**

**Office of
Public
Housing**

OMB Approval
No. 2577-0157
(Exp. 7/31/96)

PHA/HA Name Municipi	Comprehensive Grant number NY0P0	FFY of Grant Approval 1996
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Utica,
New
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Original Annual Statement
 Reserve for Disaster/Emergencies
 Revised Annual Statement
 Performance and Evaluation Report for Program Year Ending 1994
 Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost(2)	
		Original	Revised(1)	Obligated	Expended
1	Total Non-CGP Funds	\$-			
2	1408 Management	\$195,000			

	Improve ments				
3	1410 Administr ation	\$239,873			
4	1411 Audit	\$-			
5	1415 Liquidate d Damages	\$-			
6	1430 Fees and Costs	\$50,000			
7	1440 Site Acquisitio n	\$-			
8	1450 Site Improve ment	\$115,000			
9	1460 Dwelling Structure s	\$1,286,8 65			
10	1465 Dwelling Equipme nt- Nonexpe ndable	\$-			
11	1470 Nondwelli ng Structure	\$402,000			

	s				
12	1475 Nondwelli ng Equipme nt	\$110,000			
13	1495.1 Relocatio n Costs	\$-			
14	1490 Replace ment Reserves	\$-			
15	1502 Continge ncy (may not exceed 8% of line 16)	\$-			
16	Amount of Annual Grant (Sum of lines 2- 15)	\$2,398,7 38	\$-	\$-	\$-
17	Amount of Line 16 Related to LBP Activites	\$300,000			
18	Amount of Line 16 Related to	\$400,000			

Section 504 Compliance				
19 Amount of Line 16 Related to Security	\$350,000			
20 Amount of Line 16 Related to Energy Conservation Measures	\$440,365			
1) To be completed for the Performance and Evaluation Report or a Revised Annual Statement		(2) To be completed for the Performance and Evaluation Report		
Signature of Executive Director and Date DRAFT COPY	Signature of Public Housing director/Office of Native Programs Administrator and Date.			