

MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA

PHA Plans

5 Year Plan for Fiscal Years 2005 - 2009

Annual Plan for Fiscal Year 07/01/2005 – 06/30/2006

**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) 07/2005

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 2005 - 2009
[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 PROVIDE DECENT, SAFE AND AFFORDABLE HOUSING FOR ALL LOW-INCOME RESIDENTS OF UTICA THROUGH DEVELOPMENT, MANAGEMENT, AND SALE OF HOUSING AND RELATED PROJECTS AND PROGRAMS.

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) **88**
 - Improve voucher management: (SEMAP score)

- Increase customer satisfaction: **Site Management operations**
- 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: **Increase visibility of security personnel at senior/disabled developments**
- 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. The Municipal Housing Authority of the City of Utica is changing its operations to utilize asset management, project-based accounting and performance budgeting in order to survive worsening subsidy cuts.**
- 2. The Municipal Housing Authority of the City of Utica will attempt to maintain standard performance status under PHAS and an appropriate level of service to public housing residents in the face of worsening subsidy cuts.**

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 strive to maintain a high Section 8 lease-up rate within current financial constraints of the Voucher program.**
- 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, 2009.**

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 Municipal Housing Authority of the City of Utica shall maintain high performer status under SEMAP for each fiscal year through June 30, 2009.**

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 continue to deliver timely and high quality maintenance services to the residents.**
- 2. The Municipal Housing Authority of the City of Utica will continue to maintain an appealing, up to date environment it its developments using available funds.**

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

Objectives:

- 1. The Housing Authority will apply for appropriate HUD grants as they become available through the NOFA process.**
- 2. In consideration of current and pending budget cutbacks, strive to maintain appropriate levels of resident programs and services.**

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

Objectives:

- 1. The Municipal Housing Authority of the City of Utica shall strive to provide a greater visibility of security personnel at the elderly/disabled housing sites.**

Annual PHA Plan
PHA Fiscal Year 07/01/2005 – 06/30/2006
[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 PROVIDE DECENT, SAFE AND AFFORDABLE HOUSING FOR ALL LOW-INCOME RESIDENTS OF UTICA THROUGH DEVELOPMENT, MANAGEMENT, AND SALE OF HOUSING AND RELATED PROJECTS AND PROGRAMS.

In an effort to achieve our stated mission we have established relevant goals and objectives for the Housing Authority's Five-Year Plan for the period 2005 – 2009. Those goals and objectives are listed on pages 1 through 5 of the Five-Year Plan located in the previous section.

Our Statement of Progress towards achieving the Mission Statement, goals and objectives that had been established for the period 2000 through 2004 is included in this Annual Plan at Attachment P.

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 and are consistent with the Consolidated Plan for the City of Utica.

The following are a few highlights of our Annual Plan.

SUMMARY OF PROGRAM CHANGES

We have made the following 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.

- ***ADMISSIONS AND CONTINUED OCCUPANCY POLICY:***

- Changes in verification requirements for social security and supplemental security income

- Changes in verification requirements for Medicare expenses

- Upfront Income Verifications Privacy Requirements

- Procedures for Discrepancies in Verified Income

- ***SECTION 8 PROGRAM ADMINISTRATIVE PLAN:***

- Changes in verification requirements for social security and supplemental security income

- Changes in verification requirements for Medicare expenses

- Upfront Income Verifications Privacy Requirements

IN ADDITION WE HAVE MADE OR PROPOSE THE FOLLOWING DISCRETIONARY CHANGES:

- ***PUBLIC HOUSING PROGRAM:***

- Community Service – Residents who are involved in a work activity (as defined in section 407(d) of the Social Security Act in HUD’s PIH Notice) of at least 8 hours per month will be exempt from the Community Service requirement

- Security Deposits - The security deposit shall be equivalent to one months rent (Total Tenant Payment) or \$250 whichever is greater. This will only apply to new move-ins after June 30, 2005 and discretionary transfers of current residents after June 30, 2005. Security deposits paid by existing public housing residents of UMHA that moved in prior to June 30, 2005 shall constitute their entire security deposit during their tenancy (unless they choose to make a discretionary transfer after that date).

- **HOPE VI PROGRAM:**

In April 2003, the Utica Municipal Housing Authority (UMHA) was approved for a grant of \$11,501,039 from the United States Department of Housing and Urban Development to demolish Washington Courts public housing complex and build off-site replacement housing. The UMHA has community wide financial commitments (including the HOPE VI award) totaling \$71,090,163 to complement and leverage the HOPE VI Grant. With the HOPE VI Grant award, the UMHA will replace the 111 units in Washington Courts with a minimum of 194 affordable housing units in Cornhill. There will be a mix of rental and homeownership units. In addition to new housing opportunities, the ten-year revitalization plan includes new parks and playgrounds, community center, infrastructure, and elementary school.

The HOPE VI rental projects include Kembleton, Steuben Village, and Rutger Manor. Financing for the Kembleton Project, the first Phase of HOPE VI, has been provided by the Low Income Housing Tax Credit Program as well as the City of Utica HOME program. The project, which includes 27 rental units, was completed in the third quarter of 2004. Consisting of 49 units of Low Income Housing Tax Credit rental housing, construction of the Steuben Village development commenced in the summer of 2004. The application for tax credits for the Rutger Manor development is anticipated to be submitted during the first quarter of 2005.

Utilizing Replacement Housing Factor funds, the Municipal Housing Authority constructed two model homes on Eagle Street, which is situated in the HOPE VI Target Area. Construction commenced in spring 2004. These model homes are designed to stimulate interest in the entire HOPE VI Project as well as assist in marketing the homeownership units. In addition, the UMHA commenced the construction of 11 single-family homes for sale to first-time homebuyers in the fall of 2004. The housing authority is planning to construct fee simple homes on an annual basis to meet the HOPE VI homeownership production goals.

In September 2003, the UMHA commenced the early voluntary relocation of Washington Courts residents. UMHA and its affiliate corporation Rebuild Mohawk Valley, Inc. (RMV) conducted relocation counseling, case management, and support services to help residents relocate to new housing opportunities. Residents were made aware of their relocation options including moving to HOPE VI housing, other public and subsidized housing, and Housing Choice (Section 8) vouchers. UMHA conducted extensive resident counseling and education services to ensure that residents were cognizant of their rights to relocation assistance under the Uniform Relocation Act as well as the Section 104(d) of the Housing and Community Development Act of 1974. After HUD approved the HOPE VI Revitalization Plan, residents were provided with their Initiations of Negotiation Notices, which formally commenced the relocation process. UMHA residents were relocated from the Washington Courts property as of October 20, 2004. As soon as feasible, the Washington Courts property will be transferred to the City of Utica and demolished for the Gateway Project.

As part of the HOPE VI project, the UMHA Community Resources Department and RMV are providing comprehensive community and supportive services to the residents of Washington Courts, the new HOPE VI housing, and the HOPE VI Target neighborhood. The primary aim of the HOPE VI Community and Supportive Services Initiative is to assist Washington Courts and HOPE VI Target Area residents to become self-sufficient and reduce their dependency on government programs. Case management and supportive services delivered through an interconnected network of agencies will enable residents to achieve residential stability, increase skill level and/or income, and promote greater self-determination.

- ***RE-DESIGNATION OF HOUSING AUTHORITY DEVELOPMENT SITES:***

The Utica Municipal Housing Authority has the following three contiguous family sites, namely ND Peters (NY 6-2), Adrean Terrace (NY 6-1) and FX Matts (NY 6-10). FX Matt is one of several sites also known as Federalization. As these three family sites are contiguous and it is only reasonable and practical to have one maintenance shop and management office on this campus, it is therefore prudent to re-designate all three separate developments as one site for the purposes of project-based accounting.

The project known as Marino Ruggerio, consisting of 55 units of elderly/disabled housing, and the project known as Duplex Homes, consisting of 10 scattered site family apartments, both share the same designation, that being NY 6-7. As the management of an elderly/disabled hi-rise has very different requirements than scattered site family housing, it is necessary &

appropriate to separate each of these developments accordingly for the purposes of project-based accounting.

An additional housing project under the management of the UMHA this year is the mixed-finance development known as Steuben Village. This project, being otherwise known as Phase II of the UMHA HOPE VI revitalization grant program, is owned by Steuben Village LLC and is to be managed by the UMHA and its designated development entity known as Rebuild Mohawk Valley, Inc.

In summary the developments that are to receive separate HUD designation for purpose of project-based accounting including this year's HOPE VI and re-designation of existing developments are as follows:

- Brook Edge Apartments (formerly known as ND Peters, Adrean Terrace and FX Matts Apartments)
- Heatherton Homes (formerly known as Duplex Homes)
- Marino Ruggiero (separated from Duplex Homes)
- Valley Vista Apartments (formerly known as Perretta Twin Towers)
- Gilmore Village (unchanged)
- Humphrey Gardens (unchanged)
- Steuben Village (a new tax-credit housing development to be constructed in groupings for a total of 25 ACC/tax credit units and 24 tax credit units)

By making the above changes we improve upon marketing efforts and more efficient processes to be in compliance with project-based accounting and asset management practices.

- ***ENERGY PERFORMANCE CONTRACTING:***

The New York State Research and Development Authority (NYSERDA) Publicly Assisted Housing Program provides a range of incentives to publicly assisted, multi-family, residential buildings in New York State for energy-efficient rehabilitation and construction. NYSERDA's New York Energy Smart Program is funded by a statewide Systems Benefit Charge (SBC) and administered by NYSERDA on behalf of the State Public Service Commission.

On January 19, 2005 the UMHA received a Participation Agreement for the performance of energy conservation measures from NYSERDA. The Participation Agreement includes a contribution of \$896,698 from NYSERDA's Assisted Multifamily Program (AMP) and assistance from the New York Energy Smart Loan Fund program for the purpose of providing an interest rate reduction of 4.0% off a participating lender's normal loan interest for a term up to 10 years. The total estimated cost for the proposed Energy Performance Contract is currently under review by UMHA, HUD, and will require Board of Commissioners approval prior to executing the Participation Agreement to proceed with the project.

Contingent upon HUD and UMHA's approval the Energy Performance Contract work may commence as soon as spring 2005, with completion of all work occurring in approximately 18 to 24 months.

CONCLUSION:

Despite the obstacles presented by shrinking federal dollars that support various programs, we have made great strides in addressing the needs of our jurisdiction's low- and moderate-income residents. Our primary goal is the provision of safe and affordable housing. In partnership with the City of Utica, our HOPE VI Revitalization initiative will help serve as the catalyst in revitalizing neighborhoods.

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.

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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 (**Attachment A**)
- FY 2005 Capital Fund Program Annual Statement (**Attachment B**)
- 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
- FY 2005-2009 Capital Fund Program 5 Year Action Plan (**Attachment C**)
- Public Housing Drug Elimination Program (PHDEP) Plan

Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text) (**Attachment S**)

Other (List below, providing each attachment name)

- Attachment D: Capital Fund Program FY 2005 RHF Statement**
- Attachment E: Capital Fund Program FY 2004 P & E Report (50-104)**
- Attachment F: Capital Fund Program FY 2004 RHF Statement**
- Attachment G: Capital Fund Program FY 2003 P & E Report (50-103)**
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- Attachment J: Capital Fund Program FY 2002 P & E Report (50-102)**
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- Attachment N: Pet Policy Statement**
- Attachment O: Community Service Implementation Statement**
- Attachment P: Statement of Progress in Meeting Goals and Objectives**
- Attachment Q: Resident Board Members**
- Attachment R: List of Resident Advisory Board Members**
- Attachment S: Resident Comments and Housing Authority Response**

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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
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 <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	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 grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
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
X	Other supporting documents (optional) (list individually; use as many lines as necessary) Deconcentration/Income Mixing Documentation Private Management Agreement with Housing Visions (HOPE VI)	(specify as needed) ACOP/Annual Plan Annual Plan

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	4,485	5	4	4	4	3	4
Income >30% but <=50% of AMI	2,794	4	4	4	4	3	4
Income >50% but <80% of AMI	2,362	2	2	4	4	4	4
Elderly	2,789	4	2	2	3	3	3
Families with Disabilities	1,985	4	4	3	5	3	4
Race/Ethnicity- White – Non-Hisp.	9,110	3	3	4	4	3	4
Race/Ethnicity- Black – Non-Hisp.	2,173	3	3	4	4	3	4
Race/Ethnicity- Hispanic	848	3	3	4	4	3	4
Race/Ethnicity- Native American	45	3	3	4	4	3	4
Race/Ethnicity- Asian	259	3	3	4	4	3	4
Race/Ethnicity- Pacific Is.	4	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 (City of Utica & State of New York)

Indicate year: **2005**

- 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 (Overall waiting list)		
<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	55		142 units
Extremely low income <=30% AMI	15	27%	
Very low income (>30% but <=50% AMI)	39	71%	
Low income (>50% but <80% AMI)	1	2%	
Families with children	44	80%	
Elderly families	5	10%	
Families with Disabilities	5	10%	
Race/ethnicity-White	26	47.3%	
Race/ethnicity-Black	27	49.1%	
Race/ethnicity-Indian or Alaskan	1	1.8%	
Race/ethnicity-Asian/Pacific Is.	1	1.8%	
Characteristics by			

Housing Needs of Families on the Waiting List			
Bedroom Size (Public Housing Only)			
0BR			
1 BR	33	60%	38 units
2 BR	17	31%	63 units
3BR	3	5%	36 units
4+ BR	2	4%	5 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			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction: Marino – Ruggerio			
	# of families	% of total families	Annual Turnover
Waiting list total	0		3 units
Extremely low income <=30% AMI			
Very low income (>30% but <=50% AMI)			
Low income (>50% but <80% AMI)			
Families with children			
Elderly families			
Families with Disabilities			
Race/ethnicity – White			
Race/ethnicity – Black			
Race/ethnicity –			

Housing Needs of Families on the Waiting List			
Hispanic			
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR			3 units
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction: Perretta Towers			
	# of families	% of total families	Annual Turnover
Waiting list total	2		20 units
Extremely low income <=30% AMI	0	0	
Very low income (>30% but <=50% AMI)	1	50%	
Low income (>50% but <80% AMI)	1	50%	
Families with children	0	0	
Elderly families	1	50%	
Families with Disabilities	2	100%	
Race/ethnicity –	2	100%	

Housing Needs of Families on the Waiting List			
White			
Race/ethnicity – Black	0	0	
Race/ethnicity – Hispanic	0	0	
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	2	100%	20 units
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction: Duplex Homes			
	# of families	% of total families	Annual Turnover
Waiting list total	0		3 units
Extremely low income <=30% AMI			
Very low income (>30% but <=50% AMI)			
Low income (>50% but <80% AMI)			
Families with children			

Housing Needs of Families on the Waiting List			
Elderly families			
Families with Disabilities			
Race/ethnicity – White			
Race/ethnicity – Black			
Race/ethnicity – Hispanic			
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			
3 BR			3 units
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction: Gillmore Village			
	# of families	% of total families	Annual Turnover
Waiting list total	37		38 units
Extremely low income <=30% AMI	10	27%	
Very low income (>30% but <=50% AMI)	26	70%	

Housing Needs of Families on the Waiting List			
Low income (>50% but <80% AMI)	1	3	
Families with children	21	57%	
Elderly families	4	11%	
Families with Disabilities	4	11%	
Race/ethnicity – White	21	57%	
Race/ethnicity – Black	16	43%	
Race/ethnicity –			
Race/ethnicity –			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	16	43%	3 units
2 BR	14	38%	26 units
3 BR	4	11%	8 units
4 BR	3	8%	1 units
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction: Humphrey Gardens			
	# of families	% of total families	Annual Turnover
Waiting list total	39		32 units
Extremely low income <=30% AMI	6	15%	

Housing Needs of Families on the Waiting List			
Very low income (>30% but <=50% AMI)	30	77%	
Low income (>50% but <80% AMI)	3	8%	
Families with children	15	38%	
Elderly families	1	3%	
Families with Disabilities	10	26%	
Race/ethnicity – White	25	64%	
Race/ethnicity – Black	13	33%	
Race/ethnicity – Indian or Alaskan	1	3%	
Race/ethnicity –			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	24	62%	4 units
2 BR	8	20%	21 units
3 BR	3	8%	7 units
4 BR	4	10%	
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input checked="" type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction: FX Matt			
	# of families	% of total families	Annual Turnover

Housing Needs of Families on the Waiting List			
Waiting list total	6		5 units
Extremely low income <=30% AMI	2	33%	
Very low income (>30% but <=50% AMI)	4	67%	
Low income (>50% but <80% AMI)	0	0	
Families with children	1	17%	
Elderly families	1	17%	
Families with Disabilities	0	0	
Race/ethnicity – White	5	83%	
Race/ethnicity – Black	1	17%	
Race/ethnicity –	0	0	
Race/ethnicity –	0	0	
Characteristics by Bedroom Size (Public Housing Only)			
1BR	5	83%	1 units
2 BR	1	17%	1 units
3 BR	0	0	3 units
4+ BR	0	0	
5 BR	0	0	
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
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Housing Needs of Families on the Waiting List

Waiting list type: (select one)

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

If used, identify which development/subjurisdiction: **Adrean Terrace**

	# of families	% of total families	Annual Turnover
Waiting list total	27		25 units
Extremely low income <=30% AMI	4	15%	
Very low income (>30% but <=50% AMI)	20	74%	
Low income (>50% but <80% AMI)	3	11%	
Families with children	7	26%	
Elderly families	5	19%	
Families with Disabilities	4	15	
Race/ethnicity – White	19	70%	
Race/ethnicity – Black	8	30%	
Race/ethnicity –			
Race/ethnicity –			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	18	67%	6 units
2 BR	6	22%	13 units
3 BR	0	0	2 units
4 BR	3	11	2 units
5 BR	0	0	1 unit
5+ BR			1 unit

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

Housing Needs of Families on the Waiting List

Waiting list type: (select one)

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

If used, identify which development/subjurisdiction: **N D Peters**

	# of families	% of total families	Annual Turnover
Waiting list total	14		16 units
Extremely low income <=30% AMI	4	29%	
Very low income (>30% but <=50% AMI)	8	57%	
Low income (>50% but <80% AMI)	2	14%	
Families with children	6	43%	
Elderly families	7	50%	
Families with Disabilities	1	7%	
Race/ethnicity – White	9	64%	
Race/ethnicity – Black	4	29%	
Race/ethnicity – Indian or Alaskan	1	7%	
Race/ethnicity –			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	7	50%	1 unit
2 BR	2	14%	2 units
3 BR	0	0	13 units
4+ BR	5	36%	-0-
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes: How long has it been closed (# of months)? Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

Housing Needs of Families on the Waiting List

Waiting list type: (select one)

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

If used, identify which development/subjurisdiction:

	# of families	% of total families	Annual Turnover
Waiting list total	142		20 vouchers
Extremely low income <=30% AMI	15	11%	
Very low income (>30% but <=50% AMI)	125	88%	
Low income (>50% but <80% AMI)	2	1%	
Families with children	94	66%	
Elderly families	16	11%	
Families with Disabilities	32	23%	
Race/ethnicity – White	80	56%	
Race/ethnicity – Black	61	43%	
Race/ethnicity – Hispanic - Asian	1	1%	
Race/ethnicity			

Characteristics by Bedroom Size (Public Housing Only)	NA	NA	NA
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			

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

If yes:

How long has it been closed (# of months)?

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

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

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 (**UMHA may consider the feasibility of designating a public housing development as elderly only**)
- Apply for special-purpose vouchers targeted to the elderly, should they become available
- Other: (list below)

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 (**UMHA may consider the feasibility of designating a public housing development as disabled only**)
- 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)

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 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 2005 grants)		
a) Public Housing Operating Fund	2,891,794	
b) Public Housing Capital Fund	2,284,834	
c) HOPE VI Revitalization	11,501,039	
d) HOPE VI Demolition	0	
e) Annual Contributions for Section 8 Tenant-Based Assistance	4,178,732	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)		
g) Resident Opportunity and Self-Sufficiency Grants	250,000	
h) Community Development Block Grant	0	
i) HOME	0	
Other Federal Grants (list below)		
Youthbuild Grant	400,000	
Neighborhood Network Grant	200,000	
2. Prior Year Federal Grants (unobligated funds only) (list below)		
Capital Fund Program Grants	2,640,324	Mod/Development
3. Public Housing Dwelling Rental Income	2,515,691	P H Operations
4. Other income (list below)		
Interest on General Fund Investments	58,219	P H Operations

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
4. Non-federal sources (list below)		
Total resources	26,920,633	

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)

When families are nearing the top of the waiting list.

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)

Section 8.3 of our adopted Admissions and Continued Occupancy Policy discusses factors of suitability (criminal background, credit check, rental history, etc.).

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? **8**

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?

3. Yes No: May families be on more than one list simultaneously
 If yes, how many lists? **8**

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

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:

- 1 Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- 2 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
- 3 Residents who live and/or work in the jurisdiction (City of Utica)
- 4 Residents who live and/or work in the jurisdiction (Oneida County)
- 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)

(6) Deconcentration and Income Mixing

(Per PIH 2001-4 and other HUD guidance, the following questions replace the former ones in the Agency Plan template. Rather than adding this as an additional attachment, the Municipal Housing Authority of the City of Utica has deleted the former questions and inserted the current questions from the HUD website)

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)]
NY 006-1	90	See Below	N/A
NY 006-3	5	See Below	N/A

The Deconcentration analysis conducted on February 22, 2005 indicated that the NY 006-1, Adrean Terrace, has an income range that is at 116% of the average income of the covered developments. HUD regulations provide that any development that has an average income of less than 30% of the Area Median Income is exempt from Deconcentration and Income mixing requirements. The current Median Family Income for the Utica area is \$51,400. At the time of this analysis, Humphrey Gardens' average income is below 30% of the Area Median Income.

NY 006-3, Duplex Homes, income range is at 136% of the average income of the covered developments. Per the regulations at 903.2 (c) (1) (iv) in the December 22, 2000 Final Rule, a PHA may explain or justify an income profile outside of the Established Income Range (EIR). For reasons of this development's size (*small – only has 5 units*), and configuration (*scattered site*), this development is exempt. Further, at the time of this analysis, Adrean Terraces' average income is below 30% of the Area Median Income.

All other covered developments are within the acceptable EIR and are below 30% of the Median Income for the Utica area.

As a result, the Housing Authority is currently exempt from Deconcentration and Income Mixing requirements.

Documentation of the required deconcentration and income mixing analysis is a Supporting Document to the Annual Plan.

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)
- 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)

If requested in writing, the current address of the family, name/address of the current landlord (if known), and documented information regarding tenancy history for the past five years (if known).

(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:

**Hospitalization or a family emergency (documented)
Evidence the family has made a reasonable effort to locate a unit,
including seeking the assistance of the PHA
A person/family with disabilities is having a difficult time locating an
accessible and suitable unit.
(Details are found in our adopted Section 8 Administrative Plan)**

(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 – (Not Applicable)

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)

Any time there is a new source of income. A change in family composition must be reported any time it occurs. Details are in Section 15.6 of our adopted Admissions and Continued Occupancy Policy.

- 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 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.
- A brief description of the management structure and organization of the PHA follows:

The Authority's CEO is the Executive Director who is answerable to the seven-member Board of Commissioners. Under the Executive Director's guidance and supervision, the Authority's management team consists of Housing Project Managers, a Finance Administrator, a Community Resource Coordinator, a Director of Maintenance, an Information Systems Administrator, an Office Manager, a Modernization Coordinator, and a Grant Writer. The Authority's CEO is also President of Rebuild Mohawk Valley, Inc., which is the administrative and development arm of the HOPE VI Revitalization effort.

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	932 units	142 families
Section 8 Vouchers	175	20
Section 8 Certificates	NA	NA
Section 8 Mod Rehab	NA	NA
Special Purpose Section 8 Certificates/Vouchers (list individually)	NA	NA
Other Federal Programs(list individually)		

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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)

Attachment B: Capital Fund 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)

Attachment C: 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: **Washington Courts**
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:

- 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:

HOPE VI: Steuben Village, Rutger Manor, Oneida Homes (Homeownership)

- 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.)

Demolition and 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 will be under consideration.

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 checked="" type="checkbox"/> Disposition <input checked="" type="checkbox"/>
3. Application status (select one) Approved <input checked="" type="checkbox"/> Part of the HOPE VI Revitalization Plan Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: <u>(05/15/2005)</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: Demolition start expected on 05/31/05 and completion expected by 12/31/06 b. Projected end date of activity: Disposition of land to City of Utica is estimated to occur by 6/30/05

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"/> included as part of the HOPE VI Revitalization Plan; also included along with application for Washington Courts; currently being reviewed by SAC	
Planned application <input checked="" type="checkbox"/>	
4. Date application approved, submitted, or planned for submission: <u>(04/30/05)</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: 05/31/05	
b. Projected end date of activity: 05/31/05	

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

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)

- Units addressed in a pending or approved demolition application (date submitted or approved: _____)
- Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: _____)
- Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: _____)
- Requirements no longer applicable: vacancy rates are less than 10 percent
- Requirements no longer applicable: site now has less than 300 units
- 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

Asset 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 (1)]

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)
YouthBuild	15 Students 1 st cycle; Anticipate 8 students 2 nd cycle	Specific criteria	UMHA, Oneida Co., Workforce Dev., CNY Labor Agency, For the Good, Inc.	Public Housing Section 8
Resident Opportunities & Self-Sufficiency Program (ROSS) for the Elderly & Disabled	140 Residents served	Specific criteria	Elderly & Disabled developments	Public Housing, Marino Ruggiero, Perretta Twin Towers, 5% Family Sector Seniors
Relatives as Parents Program (RAPP)	15 Residents	Specific criteria	UMHA, Family Nurturing Center	Public Housing

Neighborhood Technology Centers, Martin Luther King School	All students HOPE VI Target area residents	Specific criteria	UMHA, City of Utica School District, Oneida County Workforce Development	Public Housing, Section 8, HOPE VI Target Area
Neighborhood Technology Center, ND Peters Development	All family developments, Youthbuild participants	Specific criteria	Oneida County Workforce Development, City of Zutica School District	Public Housing, Section 8

(2) Family Self Sufficiency program/s

a. Participation Description: **NA**

The Housing Authority is developing and implementing an 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 2005 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing	0 Participants	Program in initial stages of implementation.
Section 8	0 Participants	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? – **Not Applicable**
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

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)

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

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

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. Staff security is also provided.

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 2003 in this PHA Plan?
- Yes No: This PHDEP Plan is an Attachment. (Attachment Filename:)

14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

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)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

1. Yes No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock , including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?

2. What types of asset management activities will the PHA undertake? (select all that apply)
 - Not applicable
 - Private management
 - Development-based accounting
 - Comprehensive stock assessment
 - Other: (list below)

3. Yes No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
 - Attached at Attachment (File name) Attachment S
 - Provided below:

3. In what manner did the PHA address those comments? (select all that apply)
 - Considered comments, but determined that no changes to the PHA Plan were necessary.
 - The PHA changed portions of the PHA Plan in response to comments
List changes below:

Other: (list below)

B. Description of Election process for Residents on the PHA Board

1. Yes No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)

2. Yes No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

- Candidates were nominated by resident and assisted family organizations
- Candidates could be nominated by any adult recipient of PHA assistance
- Self-nomination: Candidates registered with the PHA and requested a place on ballot
- Other: (describe)

It is the policy of the Municipal Housing Authority of the City of Utica that nominations of candidates for tenant representatives on the Board of Commissioners shall be made by a petition (which shall be supplied by the Authority) containing the signatures of qualified residents from all of the Housing Authority's developments.

b. Eligible candidates: (select one)

- Any recipient of PHA assistance
- Any head of household receiving PHA assistance
- Any adult recipient of PHA assistance
- Any adult member of a resident or assisted family organization
- Other (list)

All residents in good standing whose names are listed with the Authority, who have resided in an Authority project for at least ninety days prior to the date set for election and are eighteen (18) years of age or older on the date of election, shall be eligible to nominate, vote for and be a tenant representative.

c. Eligible voters: (select all that apply)

- All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
- Representatives of all PHA resident and assisted family organizations
- Other (list)

All heads of households in good standing whose names are listed with the Authority, who have resided in an Authority development for at least ninety days prior to the date set for election and are eighteen (18) years of age or older on the date of election, shall be eligible to nominate, vote for and be a tenant representative.

See Attachment Q: Resident Member on the PHA Governing Board

C. Statement of Consistency with the Consolidated Plan

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: **The City of Utica, an Entitlement City.**
2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)
 - The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
 - The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
 - The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
 - Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)

The Municipal Housing Authority of the City of Utica (UMHA) is part of the entire effort undertaken by the City of Utica, Oneida County, to address our jurisdiction's affordable housing needs. While we cannot ourselves meet the entire need identified in the Consolidated Plan, in accordance with our goals and objectives included in this Plan, we will try to address some of the identified need by using appropriate resources to maintain and preserve our existing stock. When appropriate and feasible, we will apply for additional grants and loans from federal, state and local sources, including private sources to enhance the affordable housing available in our community. We intend to continue working with our local partners to try and meet these identified needs.

Excerpts from the City of Utica's Consolidated Plan:

"The mission of the Municipal Housing Authority of the City of Utica (UMHA) is to provide decent, safe and affordable housing for all low-income residents of Utica through development, management, and sale of housing and related projects and programs.

The UMHA serves the lowest-income persons who are often the neediest. For this reason, supporting the production and management of public housing is perhaps the single most important strategy for meeting the needs of extremely low-income renter households. UMHA's large-scale redevelopment activities, notably redevelopment funded through the HOPE VI Program, is transforming blighted neighborhoods while producing mixed-income rental and homeownership units that serve persons of very low to moderate income. For many low-income Uticans, UMHA housing represents the only affordable housing option.

The following objectives are intended to further enhance the mission of the UMHA and be carried out through services provided by UMHA staff and through collaborative efforts with other agencies, including the City of Utica Department of Urban and Economic Development.

- 1. Continue to implement the HOPE VI project designed to replace the Washington Courts housing complex and build new replacement housing.*
- 2. Continue to operate the Public Housing Modernization Comprehensive Grant Program.*
- 3. Continue to implement management and operational improvements which assist in enhancing property management operations while expanding resident involvement in property management.*
- 4. Continued coordination of services between the UMHA and the City of Utica in connection to HOPE VI, homeowner rehabilitation, neighborhood improvement, and human service programs.*
- 5. Continue to train residents and resident leaders regarding the development of strong resident councils and encourage participation in ongoing resident related activities.*
- 6. Continue activities to improve the living environment of public housing residents through job training, educational programs, computer centers, service coordination, youth services, and senior activities.*
- 7. Continue to diversify funding of the UMHA in order to maintain the financial viability of its housing development and resident services programs.”*

This year we again expect to utilize the funds we receive for our existing programs to house people. We will also be focusing on management improvements, modernization and increasing the number of owners willing to

participate in our Section 8 program. Priorities and guidelines for programs often change from year to year and our decisions to pursue certain opportunities and resources may change over the coming year if there are program changes beyond our control.

In summary, the City of Utica’s strategies are consistent with and support the goals and objectives of the Municipal Housing Authority of the City of Utica.

Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

The City of Utica plans to continue its participation in the planning and implementation efforts for major UMHA redevelopment activities, such as the Rutger Manor and Oneida Homes HOPE VI projects. CDBG funds will support major public improvement and infrastructure projects in the Cornhill neighborhood area where HOPE VI activities are taking place. HOME financing will be used to support the development of HOPE VI homeownership projects.

The City of Utica’s strategies are consistent with and support the goals and objectives of the Municipal Housing Authority of the City of Utica.

D. Other Information Required by HUD

Use this section to provide any additional information requested by HUD.

The final Agency Plan Rule contains a requirement in 24 CFR 903.7[®] that agency plans contain a locally derived definition of “substantial deviation” and “significant amendment or modification.”

The Housing Authority of the City of Utica has adopted a definition of substantial deviation and significant amendment or modification:

A. Substantial Deviation from the 5-year Plan:

A substantial deviation from the 5-year Plan occurs when the Board of Commissioners decides that it wants to change the mission statement, goals or objectives of the 5-year plan.

B. Significant Amendment or Modification to the Annual Plan:

Significant amendments or modifications to the Annual Plan are defined as discretionary changes in the plans or policies of the housing authority that fundamentally change the plans of the agency and which require formal approval of the Board of Commissioners.

Attachments

Use this section to provide any additional attachments referenced in the Plans.

All attachments are listed in the Table of Contents

Attachment A

Municipal Housing Authority of the City of Utica

Annual Plan

Fiscal Year 07/01/2005 – 06/30/2006

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 family was contacted by telephone or 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.

The signing of the lease and the review of financial information are to be privately handled. The head of household and all adult family members will be required to execute the lease prior to admission. One executed copy of the lease will be furnished to the head of household and the Municipal Housing Authority of the City of Utica will retain the original executed lease in the resident's file. A copy of the grievance procedure will be attached to the resident's copy of the lease.

(This Deconcentration policy is an extract of Section 10.4 through 10.8 of the Housing Authority's adopted Admissions and Continued Occupancy Policy.)

Attachment B

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, NY			Grant Type and Number Capital Fund Program Grant No: NY06P00650105 Replacement Housing Factor Grant No:		Federal FY of Grant: 2005
<input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> 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	10,000			
3	1408 Management Improvements Soft Costs	94,000			
	1408 Management Improvements Hard Costs				
4	1410 Administration	203,628			
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	100,000			
8	1440 Site Acquisition				
9	1450 Site Improvement	57,354			
10	1460 Dwelling Structures	1,535,293			
11	1465.1 Dwelling Equipment-Nonexpendable	10,500			
12	1470 Non-dwelling Structures	8,000			
13	1475 Non-dwelling Equipment	10,000			
14	1485 Demolition	0			
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs	2,500			
18	1499 Development Activities	5,000			
19	1502 Contingency				
	Amount of Annual Grant: (sum of lines.....)	2,036,275			

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, NY			Grant Type and Number Capital Fund Program Grant No: NY06P00650105 Replacement Housing Factor Grant No:		Federal FY of Grant: 2005
<input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
	Amount of line 21 Related to LBP Activities	85,070			
	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	518,614			
	Collateralization Expenses or Debt Service				

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Municipal Housing Authority of the City of Utica		Grant Type and Number Capital Fund Program Grant No: NY06P00650105 Replacement Housing Factor Grant No:				Federal FY of Grant: 2005		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
HA Wide	<u>Operations</u>	1406						
	HA-wide operating expenses normally paid by operating subsidy		8 Dev	<u>10,000</u>				
	Subtotal Acct 1406			10,000				
HA Wide	<u>Management Improvements</u>	1408						
	Grant Writer		1	52,000				
	System Administrator		1	<u>42,000</u>				
	Subtotal Acct 1408	1408		94,000				
HA Wide	<u>Administration</u>	1410						
	Modernization & Two (2) Assistant Mod. Coordinator, Sr. Bookkeeper, Sr. Typist, Executive Director, w/ benefits		6	<u>203,628</u>				
	Subtotal Acct 1410			203,628				
HA Wide	<u>Fees and Costs</u>	1430						
	A&E Services and Testing	1430	HA Wide	<u>100,000</u>				
	Subtotal Acct 1430			100,000				
	<u>Site Improvements</u>	1450						
NY006-1 Adrean Terrace	Sidewalk Replacement & Sealing of Parking Areas, Landscaping	1450	1 Dev.	13,673				
NY006-2	Landscaping	1450	1 Dev.	4,978				

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Municipal Housing Authority of the City of Utica		Grant Type and Number Capital Fund Program Grant No: NY06P00650105 Replacement Housing Factor Grant No:				Federal FY of Grant: 2005		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
N. D. Peters Manor								
NY006-4 Perretta Twin Towers	Sealing of Parking Lots, Landscaping	1450	1 Dev.	5,904				
NY006-7 Marino-Ruggiero Apartments & Duplexes	Sealing of Parking Lots, Landscaping	1450	1 Dev.	2,582				
NY006-10 Gillmore Village	Sidewalk Replacement & Sealing of Parking Areas, Landscaping	1450	1 Dev.	6,146				
NY006-10 F. X. Matt Apartments.	Sidewalk Replacement & Sealing of Parking Areas, Landscaping	1450	1 Dev.	11,809				
NY006-10 Humphrey Gardens	Sidewalk Replacement & Sealing of Parking Areas, Landscaping	1450	1 Dev.	<u>12,262</u>				
	Subtotal Acct 1450	1450		57,354				
	Dwelling Structures	1460						
NY006-10 Gillmore Village	Apartment Renovation-Force Account & Contracted Services	1460	7 Apts.	124,331				
NY006-10 Gillmore Village	Cycle Painting	1460	30 Apts.	20,102				
NY006-10 Gillmore Village	Tub Valves, Exhaust Fans, Infill Window & New Tub Surrounds	1460	25 Apts.	32,920				
NY006-10 Gillmore Village	Replace Drain Lines	1460	500LF	9,495				
NY006-10 Gillmore Village	Flooring	1460	7 Apts.	10,500				
NY006-10	Remediation - Fuel Oil Contaminated Soil	1460	1 Dev.	50,000				

Annual Statement/Performance and Evaluation Report									
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)									
Part II: Supporting Pages									
PHA Name: Municipal Housing Authority of the City of Utica			Grant Type and Number Capital Fund Program Grant No: NY06P00650105 Replacement Housing Factor Grant No:				Federal FY of Grant: 2005		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories		Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
Gillmore Village									
NY006-10 Gillmore Village	Abatement Cost - Asbestos & Lead		1460	7 Apts.	35,000				
NY006-10 Gillmore Village	Replacement Windows		1460	1 Bldg.	175,531				
NY006-10 Gillmore Village	Abatement - Asbestos & Lead		1460	1 Bldg.	14,895				
NY006-10 Humphrey Gardens	Apartment Renovation - Force Account & Contracted Services		1460	4 Apts.	71,046				
NY006-10 Humphrey Gardens	Cycle Painting		1460	15 Apts.	10,051				
NY006-10 Humphrey Gardens	Flooring		1460	4 Apts.	6,000				
NY006-10 Humphrey Gardens	Abatement Cost - Asbestos & Lead		1460	4 Apts.	20,000				
NY006-10 Humphrey Gardens	Replace Drain Lines		1460	500LF	9,495				
NY006-10 Humphrey Gardens	Tub Valves, Exhaust Fans, Infill Window & New Tub Surround		1460	15 Apts.	19,752				
NY006-10 Humphrey Gardens	Replacement Windows		1460	1 Bldg.	196,807				
NY006-10 Humphrey Gardens	Abatement - Asbestos & Lead		1460	1 Bldg.	16,579				
NY006-10 F. X. Matt Apartments.	Apartment Renovations - Force Account & Contracted Services		1460	3 Apts.	53,285				

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Municipal Housing Authority of the City of Utica			Grant Type and Number Capital Fund Program Grant No: NY06P00650105 Replacement Housing Factor Grant No:			Federal FY of Grant: 2005		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
NY006-10 F. X. Matt Apartments.	New Shower Valve, Exhaust Fan, & Tub Wall	1460	5 Apts.	6,584				
NY006-10 F. X. Matt Apartments	Cycle Painting	1460	45 Apts.	30,154				
NY006-10 F. X. Matt Apartments	Flooring	1460	3 Apts.	4,500				
NY006-10 F. X. Matt Apartments	Abatement - Asbestos & Lead	1460	3 Apts.	15,000				
NY006-2 N. D. Peters Manor	Exterior Porch Improvements and Wrought Iron Rails	1460	4 Porches	37,432				
NY006-2 N. D. Peters Manor	Cycle Painting	1460	10 Apts.	6,701				
NY006-1 Adrean Terrace	Apartment Renovations - Force Account & Contracted Services	1460	10 Apts.	177,616				
NY006-1 Adrean Terrace	Flooring	1460	10 Apts.	15,000				
NY006-1 Adrean Terrace	Cycle Painting	1460	30 Apts.	20,102				
NY006-1 Adrean Terrace	Abatement - Asbestos & Lead	1460	10 Apts.	50,000				
NY006-1 Adrean Terrace	New Shower Valves, Exhaust Fans, and New Tub and Shower Walls	1460	40 Apts.	61,174				
NY006-1 Adrean Terrace	Replace Drain Lines	1460	1000LF	17,697				

Annual Statement/Performance and Evaluation Report								
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)								
Part II: Supporting Pages								
PHA Name: Municipal Housing Authority of the City of Utica			Grant Type and Number Capital Fund Program Grant No: NY06P00650105 Replacement Housing Factor Grant No:			Federal FY of Grant: 2005		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
NY006-4 Perretta Twin Towers	Apartment Renovations - Closet & Pantry Doors	1460	4 Apts.	7,371				
NY006-4 Perretta Twin Towers	New Shower Valve, Exhaust Fan and Tub Wall	1460	3 Apts.	3,950				
NY006-4 Perretta Twin Towers	Cycle Painting	1460	10 Apts.	6,701				
NY006-4 Perretta Twin Towers	Administrative and Community Room Improvements	1460	1 Dev.	10,000				
NY006-4 Perretta Twin Towers	Flooring	1460	3 Apts.	4,500				
NY006-4 Perretta Twin Towers	Abatement - Asbestos	1460	3 Apts.	15,000				
NY006-4 Perretta Twin Towers	Replacement Windows	1460	1 Dev.	146,276				
NY006-7 Marino-Ruggiero Apartments & Duplexes	Apartment Renovations	1460	1 Apt.	17,762				
NY006-7 Marino-Ruggiero Apartments & Duplexes	New Shower Valve, Exhaust Fan, & Tub Surround	1460	2 Apts.	2,634				
NY006-7 Marino-Ruggiero Apartments & Duplexes	Cycle Painting	1460	5 Apts.	<u>3,350</u>				
	Subtotal Acct 1460			1,535,293				
	Dwelling Equipment	1465.1						

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Municipal Housing Authority of the City of Utica			Grant Type and Number Capital Fund Program Grant No: NY06P00650105 Replacement Housing Factor Grant No:			Federal FY of Grant: 2005		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
NY006-10 Gillmore Village	Appliances	1465.1	10 Apts.	3,500				
NY006-10 Humphrey Gardens	Appliances	1465.1	5 Apts.	1,750				
NY006-10 F. X. Matt Apartments	Appliances	1465.1	5 Apts.	1,750				
NY006-1 Adrean Terrace	Appliances	1465.1	10 Apts.	<u>3,500</u>				
	Subtotal Acct 1465.1			10,500				
	<u>Non-Dwelling Structures</u>	1470						
NY006-10 Gillmore Village	Maintenance Shop Improvements	1470	"B" Bldg.	1,000				
NY006-10 Gillmore Village	Site Office and Community Bldg. Improvements	1470	"B" Bldg.	1,000				
NY006-10 Humphrey Gardens	Maintenance Shop Improvements	1470	"B" Bldg.	1,000				
NY006-10 Humphrey Gardens	Site Office and Community Bldg. Improvements	1470	"B" Bldg.	1,000				
NY006-10 F. X. Matt Apartments	Maintenance Shop Improvements	1470	"J" Bldg.	1,000				
NY006-1 Adrean Terrace	Site Office and Community Bldg. Improvements	1470	Vega Center	1,000				
NY006-1 Adrean Terrace	Maintenance Shop Improvements	1470	Bldgs. 13 & 20	1,000				

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part II: Supporting Pages								
PHA Name: Municipal Housing Authority of the City of Utica			Grant Type and Number Capital Fund Program Grant No: NY06P00650105 Replacement Housing Factor Grant No:			Federal FY of Grant: 2005		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories			Dev. Acct No.	Quantity	Total Estimated Cost	Total Actual Cost	Status of Work
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		
HA Wide	06/30/07			06/30/09				
NY06P006010 - G.V.	06/30/07			06/30/09				
NY06P006010 - H.G.	06/30/07			06/30/09				
NY06P006010 - W.C.	06/30/07			06/30/09				
NY06P006010 - F.X.M.	06/30/07			06/30/09				
NY06P006007 - M.R./ DUPLEXES	06/30/07			06/30/09				
NY06P006004 - P.T.T.	06/30/07			06/30/09				
NY06P006002 - N.D.P.	06/30/07			06/30/09				
NY06P006001 - A.T.	06/30/07			06/30/09				
NY06P006010 - G.H.	06/30/07			06/30/09				

ATTACHMENT C

Capital Fund Program Five-Year Action Plan Part I: Summary

PHA Name MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA, NY						<input checked="" type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:
Development Number/Name/HA-Wide	Year 1 FFY <u>2005</u>	Work Statement for Year 2 FFY Grant: <u>NY06P00650105</u> PHA FY: <u>2006</u>	Work Statement for Year 3 FFY Grant: <u>NY06P00650105</u> PHA FY: <u>2007</u>	Work Statement for Year 4 FFY Grant: <u>NY06P00650105</u> PHA FY: <u>2008</u>	Work Statement for Year 5 FFY Grant: <u>NY06P00650105</u> PHA FY: <u>2009</u>	
B. Physical Improvements Subtotal.	Annual Statement	1,628,648	1,628,648	1,628,648	1,628,648	
C. Management Improvements		94,000	94,000	94,000	94,000	
D. HA-Wide Non-dwelling Structures and Equipment						
E. Administration		203,627	203,627	203,627	203,627	
F. Other Fees & Cost		100,000	100,000	100,000	100,000	
G. Operations		10,000	10,000	10,000	10,000	
H. Demolition						
I. Replacement Reserve						
J. Mod Used for Development						
K Total CFP Funds		2,036,275	2,036,275	2,036,275	2,036,275	
L. Total Non-CFP Funds						
M. Grand Total		2,036,275	2,036,275	2,036,275	2,036,275	
Signature of Executive Director		Date	Signature of Public Housing Director		Date	

ATTACHMENT C

Capital Fund Program Five-Year Action Plan

Part I: Summary

PHA Name : Municipal Housing Authority of the City of Utica, NY						<input checked="" type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:
Development Number/Name/HA -Wide	Year 1 2005	Work Statement for Year 2 FFY Grant: 2006 PHA FY: 07/01/06	Work Statement for Year 3 FFY Grant: 2007 PHA FY: 07/01/07	Work Statement for Year 4 FFY Grant: 2008 PHA FY: 07/01/08	Work Statement for Year 5 FFY Grant: 2009 PHA FY: 07/01/09	
	Annual Statement					
HA Wide		407,627	407,627	407,627	407,627	
NY06-01		353,371	548,061	292,062	320,236	
NY06-02		94,633	65,666	485,438	78,961	
NY06-04		71,112	113,660	58,400	400,941	
NY06-07		13,954	14,970	178,634	7,370	
NY06-10		1,095,578	886,291	614,114	821,140	
CFP Funds Listed for 5-year planning		2,036,275	2,036,275	2,036,275	2,036,275	
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: 2006 PHA FY: 07/01/06			Activities for Year: <u>3</u> FFY Grant: 2007 PHA FY: 07/01/07		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See	HA Wide	<u>Management Improvements (1408)</u>	94,000	HA Wide	<u>Management Improvements (1408)</u>	94,000
Annual		<u>Administration (1410)</u>	203,627		<u>Administration (1410)</u>	203,627
		<u>Fees and Costs (1430)</u>			<u>Fees and Costs (1430)</u>	
Statement	HA Wide	A&E Fees: Prepare Bids & Contract Documents; Assist At Bid Openings; Supervise Construction; Contract Labor	100,000	HA Wide	A&E Fees: Prepare Bids & Contract Documents; Assist At Bid Openings; Supervise Construction; Contract Labor	100,000
		<u>Operations (1406)</u>			<u>Operations (1406)</u>	
		P H Operations	<u>10,000</u>		P H Operations	<u>10,000</u>
		Subtotal HA Wide	407,627		Subtotal HA Wide	407,627
	NY06-01 Adrean Terrace	<u>Dwelling Structures (1460)</u>		NY06-01 Adrean Terrace	<u>Dwelling Structures (1460)</u>	
		Exterior Porch Improvements & Wrought Iron Railing Installation	46,790		Apartment Renovations	159,854
		Cycle Painting	23,453		Roofing	245,080
		New Flooring	13,500		Cycle Painting	23,453
		Abatement – Asbestos & Lead	45,000		Abatement - Asbestos & Lead	45,000
					Flooring	13,500

		Bath Ventilation, Tub & Tub Surrounds & New Shower Valves	61,174		Bath Ventilation, Tub Surrounds & Shower Valves	61,174
		Apartment Renovations	159,854	NY06-01	<u>Dwelling Equipment (1465.1)</u>	
					Stoves & Refrigerators	
	NY06-01	<u>Dwelling Equipment (1465.1)</u>		NY06-01	<u>Non-Dwelling Equipment (1470)</u>	
		Stoves	<u>3,600</u>		Administrative/Community Room Upgrades	
		Subtotal NY06-01	353,371		Subtotal NY06-01	548,061
	NY06-02 N. D. Peters Manor	<u>Dwelling Structures (1460)</u>		NY06-02 N. D. Peters Manor	<u>Dwelling Structures (1460)</u>	
		Exterior Porch Improvements and Wrought Iron Railings	83,912		Exterior Porch Improvements and Wrought Iron Railings	46,790
		Cycle Painting	10,721		Cycle Painting	10,721
	NY06-02	<u>Site Improvements (1450)</u>		NY06-02	<u>Site Improvements (1450)</u>	
					Sidewalks	<u>8,155</u>
					Subtotal NY06-02	65,666
				NY06-04 Perretta Twin Towers	<u>Dwelling Structures (1460)</u>	
					Cycle Painting	12,732
					Flooring	7,500
					Abatement – Asbestos	25,000
					Apartment Renovations	55,260
		Subtotal NY06-02	94,633		Bath Ventilation, Tub Surrounds & Shower Valves	<u>13,168</u>
				NY06-04	<u>Non-Dwelling Equipment (1470)</u>	

	NY06-04 Perretta Twin Towers	<u>Dwelling Structures</u> (1460)				
		Cycle Painting	12,732			
		Bath Ventilation, Tub Surrounds, & Shower Valves	13,168		Subtotal NY06-04	113,660
		Flooring	3,000			
		Abatement - Asbestos	10,000			
		Apartment Renovations	32,212	NY06-07 Marino-Ruggiero Apts. & Duplexes	<u>Site Improvements</u> (1450)	
		<u>Site Improvements</u> (1450)			Sidewalks	1,016
		Landscaping			<u>Dwelling Structures</u> (1460)	
		Subtotal NY06-04	71,112		Bath Ventilation, Tub Surrounds, & Shower Valves	6,584
					Cycle Painting	7,370
					Subtotal NY06-07	14,970
	NY06-07 Marino-Ruggiero Apts. & Duplexes	<u>Dwelling Structures</u> (1460)		NY06-10 Gillmore Village, Humphrey Gardens, & F. X. Matt Apts.	<u>Dwelling Structures</u> (1460)	
		Bath Fan/Ventilation, New Shower Valve, & Tub Surround	6,584		Window Replacement	409,131
		Cycle Painting	7,370		Cycle Painting	42,886
					Flooring	24,000
					Abatement - Asbestos & Lead	80,000
					Bath Ventilation, Tub Surrounds, & Shower Valves	46,088

	NY06-07	<u>Site Improvements</u> (1450)			Apartment Renovations	284,186
		Landscaping & Sidewalks				
		Subtotal NY06-07	13,954	NY06-10	<u>Site Improvements</u> (1450)	
		<u>Site Improvements</u> (1450)				
	NY06-10 Gillmore Village, Humphrey Gardens, & F. X. Matt Apts.	Sealing of Parking Areas & Sidewalk Replacement	15,666			
		<u>Dwelling Structures</u> (1460)		NY06-10	<u>Dwelling Equipment</u> (1465.1)	
	NY06-10	Cycle Painting	42,886			
		Window Replacement	393,614		Subtotal NY06-10	886,291
		Lead Abatement	33,158			
		Apartment Renovations	284,186			
		Roof Replacement	111,980			
		Bath Ventilation, Tub Surrounds, & Shower Valves	46,088			
		Flooring	24,000			
		Abatement - Asbestos & Lead	80,000			
		Remediation - Contaminated Soil	50,000			
	NY06-10	<u>Dwelling Equipment</u> (1465.1)				
		Stoves & Refrigerators	<u>14,000</u>			
		Subtotal NY06-10	1,095,578			

ATTACHMENT C

Activities for Year <u>4</u> FFY Grant: 2008 PHA FY: 07/01/08			Activities for Year: <u>5</u> FFY Grant: 2009 PHA FY: 07/01/09		
Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
HA Wide	<u>Management Improvements (1408)</u>	94,000	HA Wide	<u>Management Improvements (1408)</u>	94,000
	<u>Administration (1410)</u>	203,627		<u>Administration (1410)</u>	203,627
	<u>Fees and Costs (1430)</u>		HA Wide	<u>Fees and Costs (1430)</u>	
	A&E Fees: prepare bids and contract documents; assist at bid openings; supervise construction; contract labor	100,000		A&E Fees: prepare bids and contract documents; assist at bid openings; supervise construction; contract labor	100,000
	<u>Operations (1406)</u>			<u>Operations (1406)</u>	
	P H Operation	10,000		P H Operations	10,000
	Subtotal HA Wide	407,627		Subtotal HA Wide	407,627
			NY06-01 Adrean Terrace	<u>Non-Dwelling Equipment (1475.3)</u>	
				Playground Equipment	21,450
NY06-01 Adrean Terrace	<u>Site Improvements (1450)</u>		NY06-01 Adrean Terrace	<u>Dwelling Structures (1460)</u>	
	Exterior Lighting, Sidewalks, Landscaping & Park Equipment			Apartment Renovations	142,093
				Replace Drain Lines	54,010
				Flooring	12,000

				Abatement - Asbestos & Lead	40,000
	Relocate Garbage Areas			Exterior Porch Improvements & Wrought Iron Rails	24,030
NY06-01	<u>Dwelling Structures</u> <u>(1460)</u>			Cycle Painting	23,453
	Apartment Renovations	159,854	NY06-01	<u>Dwelling Equipment</u> <u>(1465.1)</u>	
	Cycle Painting	23,453		Stoves	<u>3,200</u>
	Bath Ventilation, Tub & Tub Surrounds & New Shower Valves	30,587		Subtotal NY06-01	320,236
	Flooring	13,500	NY06-02 N. D. Peters Manor	<u>Dwelling Structures</u> <u>(1460)</u>	
	Exterior Porch Improvements & Wrought Iron Rails	11,370		Exterior Porch Improvements & Wrought Iron Rails	46,790
	Abatement - Asbestos & Lead	45,000		Cycle Painting	10,721
	Replace Drain Lines	4,698			
NY06-01	<u>Dwelling Equipment</u> <u>(1465.1)</u>		NY06-02	<u>Non-Dwelling Equipment</u> <u>(1475.3)</u>	
	Stoves	<u>3,600</u>			21,450
	Subtotal NY06-01	292,062			
NY06-02 N. D. Peters Manor	<u>Dwelling Structures</u> <u>(1460)</u>			Subtotal NY06-02	<u>78,961</u>
	Cycle Painting	10,721			
	Replacement Windows	386,967			
	Abatement - Asbestos	40,960			
	Exterior Porch Improvements & Wrought Iron Rails	<u>46,790</u>			
	Subtotal NY06-02	485,438			

NY06-04 Perretta Twin Towers	<u>Non-Dwelling Structures</u> (1470)		NY06-04 Perretta Twin Towers	<u>Dwelling Structures</u> (1460)	
	Administrative Office Addition/Renovation of Existing Space			Flooring	7,500
NY06-04	<u>Dwelling Structures</u> (1460)			Abatement - Asbestos & Lead	25,000
	Cycle Painting	12,732		Cycle Painting	12,732
	Apartment Renovations			Kitchen Renovations	355,709
	Bath Ventilation, Tub, Tub Surrounds & New Shower Valves	13,168		Subtotal NY06-04	400,941
	Flooring	7,500			
	Abatement - Asbestos	25,000			
	Subtotal NY06-04	58,400	NY06-07 Marino-Ruggiero Apts. & Duplexes	<u>Dwelling Structures</u> (1460)	
				Cycle Painting	7,370
				Subtotal NY06-07	7,370
NY06-07 Marino-Ruggiero Apts. & Duplexes	<u>Dwelling Structures</u> (1460)		NY06-10 Gillmore Village, Humphrey Gardens, & F. X. Matt Apts.	<u>Non-Dwelling Equipment</u> (1475.3)	
	Kitchen Cabinets	164,680		Playground Equipment	64,350
	Cycle Painting	7,370		2 - 30x30 Maintenance Garages	91,970
	Bath Ventilation, Tub, Tub Surrounds, & New Shower Valves	6,584		<u>Dwelling Structures</u> (1460)	
	Subtotal NY06-07	178,634		Apartment Renovations	213,139
	Subtotal NY06-07	178,634		Cycle Painting	42,886
				Windows	249,999

				Abatement - Asbestos	24,825
				Replace Drain Lines	46,771
				Flooring	18,000
NY06-10 Gillmore Village, Humphrey Gardens, F. X. Matt Apts.	<u>Non-Dwelling Structures (1470)</u>			Abatement - Asbestos & Lead	60,000
	A New Site Maintenance, Community Room, Site Offices At Humphrey Gardens				
	Convert Existing Maintenance Shop Into A Training Center At F. X. Matt Apts.			<u>Dwelling Equipment (1465.1)</u>	
	Build New Storage Sheds			Stoves	9,200
				Subtotal NY06-10	821,140
NY06-10	<u>Dwelling Equipment (1465.1)</u>				
	Stoves	11,600			
NY06-10	<u>Dwelling Structures (1460)</u>				
	Apartment Renovations	284,186			
	Cycle Painting	42,886			
	Bath Ventilation, Tubs, & Tub Surrounds, & New Shower Valves	46,088			
	Flooring	24,000			
	Abatement - Asbestos & Lead	80,000			
	Replacement Windows	114,361			
	Abatement - Asbestos & Lead	<u>10,993</u>			
	Subtotal NY06-10	614,114			

Attachment D

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, NY		Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: NY06R00650105			Federal FY of Grant: 2005
<input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:)					
<input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> 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				
	1408 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				
11	1465.1 Dwelling Equipment-Non-expendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities	248,559			
19	1502 Contingency				
	Amount of Annual Grant: (sum of lines.....)	248,559			

**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, NY	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: NY06R00650105	Federal FY of Grant: 2005
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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	
	Amount of line XX Related to LBP Activities				
	Amount of line XX Related to Section 504 Compliance				
	Amount of line XX Related to Security –Soft Costs				
	Amount of Line XX Related to Security-- Hard Costs				
	Amount of line XX Related to Energy Conservation Measures	24,856			
	Collateralization Expenses or Debt Service				

Annual Statement/Performance and Evaluation Report
Capital Fund Program (CFP) Part I: Summary

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

HA Name: Municipal Housing Authority of the City of Utica, New York		Comprehensive Grant number NY06P00650104		FFY of Grant Approval 2004	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disaster/Emergencies <input type="checkbox"/> Revised Annual Statement / Revision Number _____ <input checked="" type="checkbox"/> Performance and Evaluation Report for Program Year Ending <u>12/31/04</u> <input type="checkbox"/> 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	1406 Operations (May not exceed 10% of line 19)	\$ 1,000.00		\$ -	\$ -
3	1408 Management Improvements	\$ 46,000.00		\$ -	\$ -
4	1410 Administration	\$ 203,627.00		\$ -	\$ -
5	1411 Audit	\$ -			
6	1415 Liquidated Damages	\$ -		\$ -	
7	1430 Fees and Costs	\$ 100,000.00		\$ -	\$ -
8	1440 Site Acquisition	\$ -		\$ -	
9	1450 Site Improvement	\$ 140,000.00		\$ -	\$ -
10	1460 Dwelling Structures	\$ 1,477,648.00		\$ -	\$ -
11	1465 Dwelling Equipment-Nonexpendable	\$ 20,000.00		\$ -	\$ -
12	1470 Nondwelling Structures	\$ 8,000.00		\$ -	\$ -
13	1475 Nondwelling Equipment	\$ 10,000.00		\$ -	\$ -
14	1485 Demolition	\$ -		\$ -	\$ -
15	1490 Replacement Reserves	\$ -			\$ -
16	1495.1Relocation Costs	\$ 10,000.00		\$ -	\$ -
17	1499 Development Activities	\$ 20,000.00			
18	1502 Contingency (may not exceed 8% of line 19)	\$ -			
19	Amount of Annual Grant (Sum of lines 2-18)	\$ 2,036,275.00	\$ -	\$ -	\$ -
20	Amount of Line 19 Related to LBP Activites	\$ 200,000.00			
21	Amount of Line 19 Related to Section 504 Compliance	\$ -			
22	Amount of Line 19 Related to Security	\$ -			
23	Amount of Line 19 Related to Energy Conservation Measures	\$ 200,000.00			
Signature of Executive Director and Date 2/24/2005			Signature of Public Housing director/Office of Native Programs Adminstratotr 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

ref Handbook 7485.3

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
HA - WIDE	<u>OPERATIONS</u>							
	HA-WIDE OPERATING EXPENSES							
	NORMALLY PAID BY OPERATING							
	SUBSIDY	1406	LUMP SUM	1,000.00		0.00	0.00	NO CONTRACT AWARDED
	SUBTOTAL A/C 1406			1,000.00	0.00	0.00	0.00	
HA-WIDE	<u>MANAGEMENT IMPROVEMENTS</u>							
	A) GRANT WRITER	1408	LUMP SUM	46,000.00		0.00	0.00	NO CONTRACT AWARDED
	SUBTOTAL A/C 1408			46,000.00	0.00	0.00	0.00	
HA-WIDE	<u>ADMINISTRATION</u>							
	MODERNIZATION & ASSISTANT MOD.							
	COORDINATOR, SR. BOOKKEEPER,							
	SR. TYPIST, EXECUTIVE DIRECTOR							
	W/ BENEFITS	1410	LUMP SUM	203,627.00		0.00	0.00	NO CONTRACT AWARDED
	SUBTOTAL A/C 1410			203,627.00	0.00	0.00	0.00	

(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

2/24/2005

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

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
HA-WIDE								
<u>FEES & COSTS</u>								
	A&E SERVICES AND TESTING	1430	LUMP SUM	100,000.00		0.00	0.00	NO CONTRACT AWARDED
	SUBTOTAL A/C 1430			100,000.00	0.00	0.00	0.00	
<u>SITE IMPROVEMENTS</u>								
NY06P006002	LANDSCAPING, SIDEWALK							
N.D. PETERS MANOR	REPLACEMENTS	1450	1 DEV.	10,000.00		0.00	0.00	NO CONTRACT AWARDED
	INSTALL NEW TELECOMMUNICATION							
	LINES	1450	1 DEV.	5,000.00		0.00	0.00	NO CONTRACT AWARDED
	ELECTRICAL DIST.SYS.UPGRADES	1450	1 DEV.	80,000.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006004								
PERRETTA								
TWIN TOWERS	LANDSCAPING,SIDEWALK REPLAC. REPAVING &PARK AREAS,CURB	1450	1 DEV.	2,000.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006001	INSTALL NEW TELECOMMUNICATION							
ADREAN TERRACE	LINES	1450	1 DEV.	5,000.00		0.00	0.00	NO CONTRACT AWARDED
	LANDSCAPING,SIDEWALK REPLAC. REPAVING &PARK AREAS,CURB	1450	1 DEV.	10,000.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006007	LANDSCAPING,SIDEWALK REPLAC. REPAVING &PARK AREAS,CURB	1450	1 DEV.	2,000.00		0.00	0.00	NO CONTRACT AWARDED
MARINO RUGGIERO/ DUPLEXES								

(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

2/24/2005

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

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
NY06P006010	INSTALL NEW TELECOMMUNICATION							
GILLMORE	LINES	1450	1 DEV.	5,000.00		0.00	0.00	NO CONTRACT AWARDED
VILLAGE								
	LANDSCAPING, SIDEWALK REPLAC.	1450	1 DEV.	10,000.00		0.00	0.00	NO CONTRACT AWARDED
	REPAVING & PARK AREAS, CURB							
NY06P006010	GRADING, TOPSOIL, SEED &	1450	1 LOT	1,000.00		0.00	0.00	NO CONTRACT AWARDED
GOLDBAS	LANSCAPING							
HOMES								
NY06P006010	INSTALL NEW TELECOMMUNICATION							
F.X. MATT	LINES	1450	1 DEV.	5,000.00		0.00	0.00	NO CONTRACT AWARDED
APARTMENTS								
NY06P006010	INSTALL NEW TELECOMMUNICATION							
HUMPHREY	LINES	1450	1 DEV.	5,000.00		0.00	0.00	NO CONTRACT AWARDED
GARDENS								
	SUBTOTAL A/C 1450			140,000.00		0.00	0.00	
	DWELLING STRUCTURES							
NY06P006004	ADMIN. & COMM. ROOM IMPROVE.	1460	1 DEV.	25,000.00		0.00	0.00	NO CONTRACT AWARDED
PERRETTA								
TWIN TOWERS	COMMON AREA RENOVATIONS	1460	1 DEV.	5,000.00		0.00	0.00	NO CONTRACT AWARDED
	APARTMENT RENOVATIONS	1460	2 APTS.	15,000.00		0.00	0.00	NO CONTRACT AWARDED

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Signature of Executive Director and Date 2/24/2005	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
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Development Number/Name Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated	Funds Expended(2)	
NY06P006007 MARINO	APARTMENT RENOVATIONS	1460	9 APTS.	50,000.00		0.00	0.00	NO CONTRACT AWARDED
RUGGIERO/ DUPLEXES	COMMON AREA RENOVATIONS	1460	1 DEV.	2,500.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006010 F.X. MATT APARTMENTS	APARTMENT RENOVATIONS	1460	6 APTS.	60,000.00		0.00	0.00	NO CONTRACT AWARDED
	CYCLE PAINTING	1460	1 DEV.	20,000.00		0.00	0.00	NO CONTRACT AWARDED
	COMMON AREA RENOVATIONS	1460	1 DEV.	2,500.00		0.00	0.00	NO CONTRACT AWARDED
	ROOF REPLACEMENT	1460	1 DEV.	101,179.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006010 HUMPHREY GARDENS	APARTMENT RENOVATIONS	1460	3 APTS.	45,000.00		0.00	0.00	NO CONTRACT AWARDED
	COMMON AREA RENOVATIONS	1460	1 DEV.	2,500.00		0.00	0.00	NO CONTRACT AWARDED
	TUB VALVES & TUB SURROUNDS	1460	50 EACH	60,000.00		0.00	0.00	NO CONTRACT AWARDED
	REPLACEMENT WINDOWS	1460	1 DEV.	120,000.00		0.00	0.00	NO CONTRACT AWARDED
	CRAWL SPACE IMPROVEMENT	1460	1 DEV	5,000.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006010 GILLMORE VILLAGE	APARTMENT RENOVATIONS	1460	5 APTS.	75,000.00		0.00	0.00	NO CONTRACT AWARDED
	COMMON AREA RENOVATIONS	1460	1 DEV.	2,500.00		0.00	0.00	NO CONTRACT AWARDED
	TUB VALVES & TUB SURROUNDS	1460	50 EACH	60,000.00		0.00	0.00	NO CONTRACT AWARDED
	REPLACEMENT WINDOWS	1460	1 DEV.	173,969.00		0.00	0.00	NO CONTRACT AWARDED
	CRAWL SPACE IMPROVEMENT	1460	1 DEV	5,000.00		0.00	0.00	NO CONTRACT AWARDED

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2/24/2005

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

Development Number/Name Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
NY06P006010 GILLMORE VILLAGE	CYCLE PAINTING	1460	1 DEV.	5,000.00		0.00	0.00	NO CONTRACT AWARDED
	REMEDIATION	1460	1 DEV.	50,000.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006002 N. D. PETERS MANOR	REPLACEMENT WINDOWS	1460	1 DEV.	100,000.00		0.00	0.00	NO CONTRACT AWARDED
	CRAWL SPACE IMPROVEMENT	1460	1 DEV	5,000.00		0.00	0.00	NO CONTRACT AWARDED
	EXT.PORCH IMPROVEMENT & WROUGHRT IRON RAILS	1460	5 PROCHES	50,000.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006001 ADREAN TERRACE	COMMON AREA RENOVATIONS	1460	1 DEV.	2,500.00		0.00	0.00	NO CONTRACT AWARDED
	APARTMENT RENOVATIONS	1460	10 APTS.	100,000.00		0.00	0.00	NO CONTRACT AWARDED
	CYCLE PAINTING	1460	10 APTS.	5,000.00		0.00	0.00	NO CONTRACT AWARDED
	REPLACEMENT WINDOWS	1460	1 DEV.	200,000.00		0.00	0.00	NO CONTRACT AWARDED
	LOCKSETS	1460	1 DEV.	80,000.00		0.00	0.00	NO CONTRACT AWARDED
	THERMOSTATIC CONTR/ VALVES	1460	1 DEV.	50,000.00		0.00	0.00	NO CONTRACT AWARDED
	SUBTOTAL A/C 1460			1,477,648.00		0.00	0.00	

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2/24/2005

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

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
	DWELLING EQUIPMENT							
NY06P006004								
PERRETTA	REPLACE STOVES AND							
TWIN TOWERS	REFRIGERATORS	1465		0.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006007								
MARINO								
RUGGIERO/	REPLACE STOVES AND							
DUPLEXES	REFRIGERATORS	1465		0.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006010								
F.X. MATT	REPLACE STOVES AND							
APARTMENTS	REFRIGERATORS	1465	10 APTS.	5,000.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006010								
HUMPHREY	REPLACE STOVES AND							
GARDENS	REFRIGERATORS	1465	10 APTS.	5,000.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006010								
GILLMORE	REPLACE STOVES AND							
VILLAGE	REFRIGERATORS	1465	10 APTS.	5,000.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006002								
N. D. PETERS	REPLACE STOVES AND							
MANOR	REFRIGERATORS	1465		0.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006001								
ADREAN	REPLACE STOVES AND							
TERRACE	REFRIGERATORS	1465	10 APTS.	5,000.00		0.00	0.00	NO CONTRACT AWARDED
	SUBTOTAL A/C 1465			20,000.00	0.00	0.00	0.00	

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2/24/2005

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

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
	RELOCATION COSTS							
HA WIDE	RELOCATION TO ACCOMPLISH RENOVATIONS AND DEMOLITION	1495		10,000.00		0.00	0.00	NO CONTRACT AWARDED
	SUBTOTAL A/C 1495			10,000.00	0.00	0.00	0.00	
	DEVELOPMENT ACTIVITIES							
HA WIDE	MIXED FINANCING PROGRAM TO SELL BONDS BACKED BY CFP ALLOCATIONS FOR HOPE VI DEMO AND REVITALIZATION, ENERGY PERFORMANCE CONTRACTING AND REDEVELOPMENT PROJECTS.	1499		20,000.00		0.00	0.00	NO CONTRACT AWARDED
	SUBTOTAL A/C 1499			20,000.00	0.00	0.00	0.00	
	GRAND TOTAL			2,036,275.00	0.00	0.00	0.00	
				0.00				

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Signature of Executive Director and Date
 2/24/2005

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

**Annual Statement/
Performance and Evaluation Report
Part III: Implementation Schedule
Capital Fund Program (CFP)**

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

CFP FY2004

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

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
NY06P006001 ADREAN TERRACE	6/30/2006			6/30/2008			
NY06P006002 N.D. PETERS	6/30/2006			6/30/2008			
NY06P006004 PERRETTA TOWERS	6/30/2006			6/30/2008			
NY06P006007 MARINO-RUGGIERO/DUPLEXES	6/30/2006			6/30/2008			
NY06P006010 WASHINGTON COURTS	6/30/2006			6/30/2008			
GOLDBAS HOMES	6/30/2006			6/30/2008			
F.X. MATT APARTMENTS	6/30/2006			6/30/2008			
HUMPHREY GARDENS	6/30/2006			6/30/2008			
GILLMORE VILLAGE	6/30/2006			6/30/2008			
MANAGEMENT IMPROVEMENTS	6/30/2006			6/30/2008			
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 2/24/2005				Signature of Public Housing Director/Office of Native American Programs Administrator and Date			

Facsimile of form HUD-52837 (10/96)
ref Handbook 7485.3

**Annual Statement/Performance and Evaluation Report
Capital Fund Program (CFP) Part I: Summary**

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

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

HA Name: Municipal Housing Authority of the City of Utica, New York		Comprehensive Grant number NY06R00650104		FFY of Grant Approval 2004	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disaster/Emergencies <input type="checkbox"/> Revised Annual Statement /Revision Number <input checked="" type="checkbox"/> Performance and Evaluation Report for Program Year Ending <u>12/31/2004</u> <input type="checkbox"/> 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	1406 Operations (May not exceed 10% of line 19)	\$ -		\$ -	\$ -
3	1408 Management Improvements	\$ -		\$ -	\$ -
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	\$ -		\$ -	\$ -
11	1465 Dwelling Equipment-Nonexpendable	\$ -		\$ -	\$ -
12	1470 Nondwelling Structures	\$ -		\$ -	\$ -
13	1475 Nondwelling Equipment	\$ -		\$ -	\$ -
14	1485 Demolition	\$ -		\$ -	\$ -
15	1490 Replacement Reserves	\$ -		\$ -	\$ -
16	1495.1Relocation Costs	\$ -		\$ -	\$ -
17	1499 DEVELOPMENT ACTIVITIES	\$ 248,559.00		\$ -	\$ -
18	1502 Contingency (may not exceed 8% of line 19)	\$ -		\$ -	\$ -
19	Amount of Annual Grant (Sum of lines 2-18)	\$ 248,559.00		\$ -	\$ -
20	Amount of Line 19 Related to LBP Activites	\$ -			
21	Amount of Line 19 Related to Section 504 Compliance	\$ -			
22	Amount of Line 19 Related to Security	\$ -			
23	Amount of Line 19 Related to Energy Conservation Measures	\$ -			
Signature of Executive Director and Date <p style="text-align:center;">2/23/2005</p>		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/
Performance and Evaluation Report
Part III: Implementation Schedule
Capital Fund Program (CFP)**

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

RHF FY2004

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

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
CITY OF UTICA WIDE	5/15/2006			6/30/2007			
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 2/22/2005				Signature of Public Housing Director/Office of Native American Programs Administrator and Date			

Facsimile of form HUD-52837 (10/96)
ref Handbook 7485.3

Annual Statement/Performance and Evaluation Report
Capital Fund Program (CFP) Part I: Summary

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

HA Name: Municipal Housing Authority of the City of Utica, New York		Comprehensive Grant number NY06P00650103		FFY of Grant Approval 2003	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disaster/Emergencies <input type="checkbox"/> Revised Annual Statement / Revision Number _____ <input checked="" type="checkbox"/> Performance and Evaluation Report for Program Year Ending <u>12/31/2004</u> <input type="checkbox"/> 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	1406 Operations (May not exceed 10% of line 19)	\$ 128,285.35	\$ 44,894.32	\$ -	\$ -
3	1408 Management Improvements	\$ 46,000.00	\$ 88,000.00	\$ -	\$ -
4	1410 Administration	\$ 176,096.00		\$ -	\$ -
5	1411 Audit	\$ -			
6	1415 Liquidated Damages	\$ -			
7	1430 Fees and Costs	\$ 100,000.00	\$ 522.26	\$ -	\$ -
8	1440 Site Acquisition	\$ 50,000.00	\$ -		
9	1450 Site Improvement	\$ 114,000.00	\$ 185,115.68	\$ -	\$ -
10	1460 Dwelling Structures	\$ 1,031,034.00	\$ 1,166,561.52	\$ -	\$ -
11	1465 Dwelling Equipment-Nonexpendable	\$ 20,000.00	\$ -	\$ -	\$ -
12	1470 Nondwelling Structures	\$ 38,469.45	\$ 47,223.45	\$ -	\$ -
13	1475 Nondwelling Equipment	\$ 47,074.20	\$ 51,036.00	\$ -	\$ -
14	1485 Demolition	\$ -			
15	1490 Replacement Reserves	\$ -			
16	1495.1Relocation Costs	\$ 10,000.00	\$ 1,509.77	\$ -	\$ -
17	1499 Development Activities	\$ -			
18	1502 Contingency (may not exceed 8% of line 19)	\$ -			
19	Amount of Annual Grant (Sum of lines 2-18)	\$ 1,760,959.00	\$ 1,584,863.00	\$ -	\$ -
20	Amount of Line 19 Related to LBP Activites	\$ 200,000.00			
21	Amount of Line 19 Related to Section 504 Compliance	\$ -			
22	Amount of Line 19 Related to Security	\$ -			
23	Amount of Line 19 Related to Energy Conservation Measures	\$ 200,000.00			
Signature of Executive Director and Date 3/1/2005			Signature of Public Housing director/Office of Native Programs Administratotr 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

ref Handbook 7485.3

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
HA - WIDE	<u>OPERATIONS</u>							
	HA-WIDE OPERATING EXPENSES							
	NORMALLY PAID BY OPERATING							
	SUBSIDY	1406	8 DEV.	128,285.35	44,894.32	44,894.32	44,894.32	
	SUBTOTAL A/C 1406			128,285.35	44,894.32	44,894.32	44,894.32	
HA-WIDE	<u>MANAGEMENT IMPROVEMENTS</u>							
	A) GRANT WRITER	1408	1 EMP.	46,000.00		46,000.00	28,945.34	
	B) COMPUTER SOFTWARE		PHA WIDE		42,000.00			
	SUBTOTAL A/C 1408			46,000.00	42,000.00	46,000.00	28,945.34	
HA-WIDE	<u>ADMINISTRATION</u>							
	MOD. & ASST. MOD.COOR.,							
	SR.BOOKEEPER,SR.TYP.,EXEC.DIR.							
	W/ BENEFITS	1410	6 EMP.	176,096.00		176,096.00		
	SUBTOTAL A/C 1410			176,096.00	0.00	176,096.00	0.00	
HA-WIDE	<u>FEES & COSTS</u>							
	A&E SERVICES AND TESTING	1430	PHA WIDE	100,000.00	522.26	522.26	480.42	
	SUBTOTAL A/C 1430			100,000.00	522.26	522.26	480.42	
	<u>SIDE ACQUISITION</u>							
CITY WIDE	PURCHASE LAND	1440	17 SITES	50,000.00	0.00			
				50,000.00	0.00	0.00	0.00	

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Signature of Executive Director and Date

3/1/2005

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

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
SITE IMPROVEMENTS								
NY06P006001	LANDSCAPING, SIDEWALK REPLAC.							
ADREN	GARBAGE STATION,SEWERLINES	1450	1 DEV.	1,000.00	0.00			
TERRACE								
NY06P006002	LANDSCAPING, SIDEWALK REPLAC.							
N.D. PETERS	REPAVE PARKING AREAS,CURBING							
MANOR	FENCES, GARBAGE STATIONS	1450	1 DEV.	1,000.00	3,731.92	3,731.92	3,731.92	
NY06P006004	LANDSCAPING, SIDEWALK REPLAC.							
PERRETTA	CURBING,FENCES,GARBAGE							
TWIN TOWERS	STATIONS	1450	1 DEV.	10,000.00	21,585.92	21,585.92	20,068.73	
NY06P006010								
GOLDBAS								
HOMES	GRADING AND LANDSCAPING	1450	1 DEV.	1,000.00	0.00			
NY06P006007	LANDSCAPING, SIDEWALK REPLAC.							
MARINO	REPAVE PARKING AREAS,CURBING							
RUGGIERO/	FENCES, GARBAGE STATIONS	1450	1 DEV.	100,000.00	159,797.84	159,797.84	159,797.84	
DUPLEXES								
NY06P006010	LANDSCAPING, SIDEWALK REPLAC.							
GILLMORE	REPAVE PARKING AREAS,CURBING							
VILLAGE	FENCES, GARBAGE STATIONS							
	SEWER LINES	1450	1 DEV.	1,000.00	0.00			
	SUBTOTAL A/C 1450			114,000.00	185,115.68	185,115.68	183,598.49	

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Signature of Executive Director and Date
 3/1/2005

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

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
DWELLING STRUCTURES								
NY06P006004	APARTMENT RENOVATIONS	1460	2 APTS.	15,000.00	15,624.84	15,624.84	15,300.10	
PERRETTA								
TWIN TOWERS	COMMON AREA RENOVATIONS	1460	1 DEV.	5,000.00	25,878.36	25,878.36	25,878.36	
	TRASH COMPACTOR SYSTEM	1460	1 DEV.	35,000.00	42,023.32	42,023.32	42,023.32	
	ADMINISTRATIVE & COMMUNITY ROOM IMPROVEMENT	1460	1 DEV.	33,019.10	0.00			
NY06P006010	APARTMENT RENOVATIONS	1460	15 APTS.	30,000.00	1,987.30	1,987.30	1,987.30	
F.X. MATT	ACCOUNT & CONTRACTED SERV.							
APARTMENTS	CYCLE PAINTING	1460	1 DEV.	20,000.00	0.00			
	COMMON AREA RENOVATIONS	1460	1 DEV.	2,500.00	0.00			
NY06P006010	APARTMENT RENOVATIONS	1460	30 APTS.	119,343.90	262,437.94	262,437.94	262,437.94	
GILLMORE	ACCOUNT & CONTRACTED SERV.							
VILLAGE	CYCLE PAINTING	1460	5 APTS.	2,500.00	1,704.93	1,704.93	0.00	
	COMMON AREA RENOVATIONS	1460	1 DEV.	2,500.00	0.00			
	CRAWL SPACE IMPROVEMENTS	1460	1 DEV.	5,000.00	0.00	0.00	0.00	
	REPLACEMENT WINDOWS & SCREEN DOORS	1460	1 BLDG.	70,000.00	32,415.12	32,415.12	32,415.12	
	CONTAMINATED SOIL REMEDIATION	1460	1 DEV.	50,000.00	52,764.00	52,764.00	48,108.00	
NY06P006001	APARTMENT RENOVATIONS	1460	30 APTS.	60,000.00	85,689.96	85,689.96	80,870.66	
ADREAN	ACCOUNT & CONTRACTED SERV.							
TERRACE	CYCLE PAINTING	1460	10 APTS.	5,000.00	0.00			

(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	3/1/2005	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
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Development Number/Name Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
NY06P006001 ADREAN TERRACE	COMMON AREA RENOVATIONS	1460	1 DEV.	2,500.00	0.00			
	REPLACE WINDOWS & STORM DOORS	1460	2 BLDGS.	60,000.00	30,153.60	30,153.60	30,153.60	
	THERMOSTATIC CONTROL VALVES	1460	199 APTS.	0.00				
NY06P006002 N.D. PETERS MANOR	EXTERIOR PORCH IMPROVEMENTS & WROUGH IRON RAILS	1460	4 PORCHES	10,000.00	673.25	673.25	673.25	
	REPLACE WINDOWS & STORM DOORS	1460	1 BLDG.	0.00				
	CRAWL SPACE IMPROVEMENTS	1460	1 DEV.	0.00				
	APARTMENT RENOVATIONS	1460	1 APT.					
NY06P006007 MARINO RUGGIERO/ DUPLEXES	APARTMENT RENOVATIONS	1460	9 APTS.	100,000.00	206,401.95	206,401.95	192,685.03	
	COMMON AREA RENOVATIONS	1460	1 DEV.	2,500.00	0.00			
	ELEVATOR SYSTEM INSTALLATION	1460	1 DEV.	243,671.00	325,000.00	325,000.00	35,500.00	
	ROOFING & EXTERIOR LIGHTING	1460	1 DEV.	50,000.00	0.00			
	COMMUNITY ROOM IMPROVEMENTS	1460	1 DEV.	0.00				
	TRASH COMPACTOR SYSTEM	1460	1 DEV.	15,000.00	21,011.68	21,011.68	21,011.68	

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

Signature of Executive Director and Date 3/1/2005 Signature of Public Housing Director/Office of Native American Programs Administrator and Date

Development Number/Name Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
NY06P006010	APARTMENT RENOVATIONS-FORCE	1460	30 APTS.	60,000.00	46,713.35	46,713.35	32,778.31	
HUMPHREY	ACCOUNT & CONTRACTED SERV.							
GARDENS								
	COMMON AREA RENOVATIONS	1460	1 DEV.	2,500.00	0.00			
	CYCLE PAINTING	1460	5 APTS.	0.00				
	REPLACEMENT WINDOWS & STORM DOORS	1460	1 BLDG.	30,000.00	16,081.92	16,081.92	16,081.92	
	CRAWL SPACE IMPROVEMENTS	1460	1 DEV.	0.00				
	SUBTOTAL A/C 1460			1,031,034.00	1,166,561.52	1,166,561.52	837,904.59	
	DWELLING EQUIPMENT							
NY06P006010	REPLACE REFRIGERATOR &							
GILLMORE	RANGES	1465.1	10 APTS.	5,000.00	0.00			
VILLAGE								
NY06P006010	REPLACE REFRIGERATOR &							
HUMPHREY	RANGES	1465.1	10 APTS.	5,000.00	0.00			
GARDENS								
NY06P006010	REPLACE REFRIGERATOR &							
F.X. MATT	RANGES	1465.1	10 APTS.	5,000.00	0.00			
APARTMENTS								

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

Signature of Executive Director and Date
3/1/2005

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

Development Number/Name Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
NY06P006001	REPLACE REFRIGERATOR & RANGES	1465.1	10 APTS.	5,000.00	0.00			
ADREAN	TERRACE							
	SUBTOTAL A/C 1465.1			20,000.00	0.00	0.00	0.00	
	NON DWELLING STRUCTURES							
NY06P006010	MAINTENANCE SHOP IMPROVEMENTS	1470	"B" BLDG.	1,000.00	0.00			
GILLMORE	SITE OFFICE & COMMUNITY BLDG. IMPROVEMENTS	1470	"B" BLDG.	1,000.00	0.00			
VILLAGE								
NY06P006010	MAINTENANCE SHOP IMPROVEMENTS	1470	"B" BLDG.	1,000.00	0.00			
HUMPHREY	SITE OFFICE & COMMUNITY BLDG. IMPROVEMENTS	1470	"B" BLDG.	1,000.00	0.00			
GARDENS								
NY06P006010	MAINTENANCE SHOP IMPROVEMENTS	1470	"J" BLDG.	1,000.00	0.00			
F.X. MATT								
APARTMENTS								
NY06P006002	COMPUTER LAB / MAINTENANCE GARAGE	1470	"J" BLDG.	25,000.00	26,250.00	26,250.00	15,187.84	
N.D. PETERS	ACCESS & SECURITY SYSTEM	1470	LUMP SUM	288.00		288.00	288.00	
MANOR								

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

Signature of Executive Director and Date 3/1/2005 Signature of Public Housing Director/Office of Native American Programs Administrator and Date

Development Number/Name Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)	
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)		
NY06P006007 MARINO RUGGIERO/ DUPLEXES	ACCESS & SECURITY SYSTEM	1470	LUMP SUM	808.00	1,743.00	1,743.00	1,743.00		
NY06P006004 PERRETTA TWIN TOWERS	ACCESS & SECURITY SYSTEM	1470	LUMP SUM	886.45		886.45	886.45		
NY06P006001 ADREAN TERRACE	MAINTENANCE SHOP IMPROVEMENTS		BLDGS. 13 & 20	1,000.00	13,569.00	13,569.00	11,640.97		
	SITE OFFICE & COMMUNITY BLDG. IMPROVEMENTS	1470	VEGA CENTER	1,000.00	0.00				
	ACCESS & SECURITY SYSTEM	1470	LUMP SUM	4,135.00		4,135.00	4,135.00		
NY06P0060010 WASHINGTON COURTS	ACCESS & SECURITY SYSTEM	1470	LUMP SUM	352.00		352.00	352.00		
	SUBTOTAL A/C 1470			38,469.45	41,562.00	47,223.45	34,233.26		
	NON DWELLING EQUIPMENT								
NY06P006010 GILLMORE VILLAGE	PLAYGROUND EQUIPMENT	1475	1 DEV.	0.00					
		1475	1 DEV.						
NY06P006010 HUMPHREY GARDENS	PLAYGROUND EQUIPMENT	1475	1 DEV.	0.00					
Signature of Executive Director and Date				3/1/2005		Signature of Public Housing Director/Office of Native American Programs Administrator and Date			

Development Number/Name Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
NY06P006002 N.D. PETERS MANOR	PLAYGROUND EQUIPMENT	1475	1 DEV.	0.00				
NY06P006001 ADREAN TERRACE	PLAYGROUND EQUIPMENT	1475 1	1 DEV. 1 DEV.	0.00				
NY06P006010 F.X. MATT APARTMENTS	PLAYGROUND EQUIPMENT	1475	1 DEV.	0.00				
NY06P006004 PERRETTA TWIN TOWERS	COMPUTER HARDWARE	1475	HA WIDE	0.00	6,759.80	6,759.80	803.65	
HA-WIDE	OFFICE FURNITURE & EQUIPMENT	1475	HA WIDE	5,000.00	1,722.00	1,722.00	1,722.00	
HA-WIDE	MODERNIZAITON VEHICLE	1475	HA WIDE	42,074.20	42,554.20	42,554.20	42,554.20	
	SUBTOTAL A/C 1475			47,074.20	51,036.00	51,036.00	45,079.85	
	RELOCATION COSTS							
HA-WIDE	RELOCATION TO ACCOMPLISH RENOVATIONS & DEMOLITIONS	1495	HA WIDE	10,000.00	1,509.77	1,509.77	680.00	
	SUBTOTAL A/C 1495			10,000.00	1,509.77	1,509.77	680.00	
	GRAND TOTAL			1,760,959.00	1,533,201.55	1,718,959.00	1,175,816.27	

(1) To be completed for Per	(2) To be completed for the Performance and Evaluation Report.
Signature of Executive Director and Date 3/1/2005	Signature of Public Housing Director/Office of Native American Programs Administrator and Date

**Annual Statement/
Performance and Evaluation Report
Part III: Implementation Schedule
Capital Fund Program (CFP)**

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

CFP FY2003

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

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
NY06P006001 ADREAN TERRACE	9/16/2005			9/16/2007			
NY06P006002 N.D. PETERS	9/16/2005			9/16/2007			
NY06P006004 PERRETTA TOWERS	9/16/2005			9/16/2007			
NY06P006007 MARINO-RUGGIERO/DUPLEXES	9/16/2005			9/16/2007			
NY06P006010 WASHINGTON COURTS	9/16/2005			9/16/2007			
GOLDBAS HOMES	9/16/2005			9/16/2007			
F.X. MATT APARTMENTS	9/16/2005			9/16/2007			
HUMPHREY GARDENS	9/16/2005			9/16/2007			
GILLMORE VILLAGE	9/16/2005			9/16/2007			
MANAGEMENT IMPROVEMENTS	9/16/2005			9/16/2007			
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 3/4/2004				Signature of Public Housing Director/Office of Native American Programs Administrator and Date			

Facsimile of form HUD-52837 (10/96)
ref Handbook 7485.3

**Annual Statement/Performance and Evaluation Report
Capital Fund Program (CFP) Part I: Summary**

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

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

HA Name: Municipal Housing Authority of the City of Utica, New York		Comprehensive Grant number NY06P00650203		FFY of Grant Approval 2003	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disaster/Emergencies <input checked="" type="checkbox"/> Revised Annual Statement /Revision Number <u> 1 </u> <input type="checkbox"/> Performance and Evaluation Report for Program Year Ending _____ <input type="checkbox"/> 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	1406 Operations (May not exceed 10% of line 19)	\$ -		\$ -	\$ -
3	1408 Management Improvements	\$ -	\$ 64,000.00	\$ -	\$ -
4	1410 Administration	\$ 41,239.00		\$ -	\$ -
5	1411 Audit	\$ -		\$ -	\$ -
6	1415 Liquidated Damages	\$ -		\$ -	\$ -
7	1430 Fees and Costs	\$ 31,156.00		\$ -	\$ -
8	1440 Site Acquisition	\$ -		\$ -	\$ -
9	1450 Site Improvement	\$ 30,000.00		\$ -	\$ -
10	1460 Dwelling Structures	\$ 300,000.00	\$ 236,000.00	\$ -	\$ -
11	1465 Dwelling Equipment-Nonexpendable	\$ -		\$ -	\$ -
12	1470 Nondwelling Structures	\$ -		\$ -	\$ -
13	1475 Nondwelling Equipment	\$ 10,000.00		\$ -	\$ -
14	1485 Demolition	\$ -		\$ -	\$ -
15	1490 Replacement Reserves	\$ -		\$ -	\$ -
16	1495.1Relocation Costs	\$ -		\$ -	\$ -
17	1499 Development Activities	\$ -		\$ -	\$ -
18	1502 Contingency (may not exceed 8% of line 19)	\$ -		\$ -	\$ -
19	Amount of Annual Grant (Sum of lines 2-18)	\$ 412,395.00	\$ 300,000.00	\$ -	\$ -
20	Amount of Line 19 Related to LBP Activites	\$ 6,000.00			
21	Amount of Line 19 Related to Section 504 Compliance	\$ -			
22	Amount of Line 19 Related to Security	\$ -			
23	Amount of Line 19 Related to Energy Conservation Measures	\$ 12,000.00			
Signature of Executive Director and Date		Signature of Public Housing director/Office of Native Programs Administrator and Date.			
3/1/2005					

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

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
	MANAGEMENT IMPROVEMENTS							
HA - Wide	SYSTEM ADMINISTRATOR	1408	LUMP SUM	0.00	64,000.00	0.00	0.00	EMPLOYEE HIRED
	SUB TOTAL A/C 1408			0.00	64,000.00	0.00	0.00	
	ADMINISTRATION							
HA - Wide	MODERNIZATION & ASST. MOD. COOR. SR. BOOKKEEPER, SR. TYPIST, EXECUTIVE DIRECTOR W/ BENEFITS	1410	LUMP SUM	41,239.00		0.00	0.00	EMPLOYEES HIRED
	SUB TOTAL A/C 1410			41,239.00	0.00	0.00	0.00	
	FEES AND COST							
HA - Wide	A&E SERVICES & TESTING	1430	LUMP SUM	31,156.00		0.00	0.00	NO CONTRACT AWARDED
	SUB TOTAL A/C 1430			31,156.00	0.00	0.00	0.00	
	SITE IMPROVEMENTS							
NY006P006002	LANDSCAPING, SIDEWALK REPL.,							
N.D. PETERS	REPAVING OF PARK AREAS,							
MANOR	CURBING, FENCES, GARB. STATION	1450	LUMP SUM	30,000.00		0.00	0.00	NO CONTRACT AWARDED
	SUB TOTAL A/C 1450			30,000.00	0.00	0.00	0.00	

(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	3/1/2005	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
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Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
	DWELLING STRUCTURES							
NY06P006010	APARTMENT RENOVATIONS -							
GILLMORE	FORCE ACCOUNT& CONTRACT							
VILLAGE	SERVICES	1460	2 APTS.	30,000.00	0.00	0.00	0.00	NO CONTRACT AWARDED
NY06P006010	APARTMENT RENOVATIONS -							
HUMPHREY	FORCE ACCOUNT& CONTRACT							
GARDENS	SERVICES	1460	2 APTS.	30,000.00	0.00	0.00	0.00	NO CONTRACT AWARDED
NY06P006010	APARTMENT RENOVATIONS -							
F.X. MATT	FORCE ACCOUNT& CONTRACT							
APARTMENTS	SERVICES	1460	2 APTS.	30,000.00	0.00	0.00	0.00	NO CONTRACT AWARDED
	ROOF REPLACEMENT	1460	1 DEV.	130,000.00	66,000.00	0.00	0.00	NO CONTRACT AWARDED
NY06P006002	EXTERIOR PORCH IMPROVEMENT							
N.D. PETERS	& WROUGHT IRON RAILS	1460	5 PORCHES	50,000.00	0.00	0.00	0.00	NO CONTRACT AWARDED
MANOR								
NY06P006001	APARTMENT RENOVATIONS -							
ADREAN	FORCE ACCOUNT& CONTRACT							
TERRACE	SERVICES	1460	2 APTS.	30,000.00	0.00	0.00	0.00	NO CONTRACT AWARDED
	SUB TOTAL A/C 1460			300,000.00	66,000.00	0.00	0.00	

(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 3/1/2005	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
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**Annual Statement/
Performance and Evaluation Report
Part III: Implementation Schedule
Capital Fund Program (CFP)**

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

CFP FY2003

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

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
NY06P006001 ADREAN TERRACE	2/13/2006			2/13/2008			
NY06P006002 N.D. PETERS	2/13/2006			2/13/2008			
NY06P006004 PERRETTA TOWERS							
NY06P006007 MARINO-RUGGIERO/DUPLEXES							
NY06P006010 WASHINGTON COURTS							
GOLDBAS HOMES							
F.X. MATT APARTMENTS	2/13/2006			2/13/2008			
HUMPHREY GARDENS	2/13/2006			2/13/2008			
GILLMORE VILLAGE	2/13/2006			2/13/2008			
MANAGEMENT IMPROVEMENTS	2/13/2006			2/13/2008			
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 3/1/2005				Signature of Public Housing Director/Office of Native American Programs Administrator and Date			

Facsimile of form HUD-52837 (10/96)
ref Handbook 7485.3

**Annual Statement/Performance and Evaluation Report
Capital Fund Program (CFP) Part I: Summary**

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

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

HA Name: Municipal Housing Authority of the City of Utica, New York		Comprehensive Grant number NY06R00650203		FFY of Grant Approval 2003	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disaster/Emergencies <input type="checkbox"/> Revised Annual Statement /Revision Number <input checked="" type="checkbox"/> Performance and Evaluation Report for Program Year Ending <u>12/31/2004</u> <input type="checkbox"/> 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	1406 Operations (May not exceed 10% of line 19)	\$ -		\$ -	\$ -
3	1408 Management Improvements	\$ -		\$ -	\$ -
4	1410 Administration	\$ 19,158.00		\$ -	\$ -
5	1411 Audit	\$ -		\$ -	\$ -
6	1415 Liquidated Damages	\$ -		\$ -	\$ -
7	1430 Fees and Costs	\$ 5,000.00		\$ -	\$ -
8	1440 Site Acquisition	\$ 10,000.00		\$ -	\$ -
9	1450 Site Improvement	\$ -		\$ -	\$ -
10	1460 Dwelling Structures	\$ 157,428.00		\$ -	\$ -
11	1465 Dwelling Equipment-Nonexpendable	\$ -		\$ -	\$ -
12	1470 Nondwelling Structures	\$ -		\$ -	\$ -
13	1475 Nondwelling Equipment	\$ -		\$ -	\$ -
14	1485 Demolition	\$ -		\$ -	\$ -
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)	\$ 191,586.00		\$ -	\$ -
20	Amount of Line 19 Related to LBP Activites	\$ -			
21	Amount of Line 19 Related to Section 504 Compliance	\$ -			
22	Amount of Line 19 Related to Security	\$ -			
23	Amount of Line 19 Related to Energy Conservation Measures	\$ -			
Signature of Executive Director and Date <p style="text-align:center;">2/22/2005</p>		Signature of Public Housing director/Office of Native Programs Adminstrator 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/
Performance and Evaluation Report
Part III: Implementation Schedule
Capital Fund Program (CFP)**

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

RHF FY2003

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

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
CITY OF UTICA WIDE	5/15/2005			6/30/2007			
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 2/22/2005				Signature of Public Housing Director/Office of Native American Programs Administrator and Date			

Facsimile of form HUD-52837 (10/96)
ref Handbook 7485.3

Annual Statement/Performance and Evaluation Report
Capital Fund Program (CFP) Part I: Summary

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

HA Name: Municipal Housing Authority of the City of Utica, New York		Comprehensive Grant number NY06P00650102		FFY of Grant Approval 2002	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disaster/Emergencies <input type="checkbox"/> Revised Annual Statement / Revision Number _____ <input checked="" type="checkbox"/> Performance and Evaluation Report for Program Year Ending <u>12/31/04</u> <input type="checkbox"/> 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	1406 Operations (May not exceed 10% of line 19)	\$ 465,733.00		\$ 465,733.00	\$ 465,733.00
3	1408 Management Improvements	\$ 150,888.85		\$ 150,888.85	\$ 150,888.85
4	1410 Administration	\$ 232,866.00		\$ 232,866.00	\$ 216,977.89
5	1411 Audit	\$ -			
6	1415 Liquidated Damages	\$ -			
7	1430 Fees and Costs	\$ 225,757.60		\$ 225,757.60	\$ 152,937.65
8	1440 Site Acquisition	\$ -			
9	1450 Site Improvement	\$ 131,199.00		\$ 131,199.00	\$ 131,199.00
10	1460 Dwelling Structures	\$ 788,002.74		\$ 788,002.74	\$ 755,247.08
11	1465 Dwelling Equipment-Nonexpendable	\$ 122,004.94		\$ 122,004.94	\$ 122,004.94
12	1470 Nondwelling Structures	\$ 53,334.79		\$ 53,334.79	\$ 53,334.79
13	1475 Nondwelling Equipment	\$ 1,093.99		\$ 1,093.99	\$ 1,093.99
14	1485 Demolition	\$ 85,193.18		\$ 85,193.18	\$ 85,193.18
15	1490 Replacement Reserves	\$ -			
16	1495.1 Relocation Costs	\$ 12,100.91		\$ 12,100.91	\$ 4,415.68
17	1499 Development Activities	\$ -			
18	1502 Contingency (may not exceed 8% of line 19)	\$ -			
19	Amount of Annual Grant (Sum of lines 2-18)	\$ 2,268,175.00	\$ -	\$ 2,268,175.00	\$ 2,139,026.05
20	Amount of Line 19 Related to LBP Activites	\$ 200,000.00			
21	Amount of Line 19 Related to Section 504 Compliance	\$ -			
22	Amount of Line 19 Related to Security	\$ -			
23	Amount of Line 19 Related to Energy Conservation Measures	\$ 200,000.00			
Signature of Executive Director and Date 2/23/2005			Signature of Public Housing director/Office of Native Programs Adminstrator 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

ref Handbook 7485.3

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
HA - WIDE	OPERATIONS							
	HA-WIDE OPERATING EXPENSES							
	NORMALLY PAID BY OPERATING							
	SUBSIDY	1406	LUMP SUM	465,733.00		465,733.00	465,733.00	COMPLETE
	SUBTOTAL A/C 1406			465,733.00	0.00	465,733.00	465,733.00	
HA-WIDE	MANAGEMENT IMPROVEMENTS							
	A) TENANT ADVOCATE-MULTI-							
	LINGUAL TENANT ADVOCATE	1408	LUMP SUM	0.00		0.00	0.00	EMPLOYEE NOT HIRED
	B) HOUSING DEVELOPMENT							
	SPECIALIST-ENERGY PERFORMANCE							
	CONTRACTING, HOPE VI AND							
	OTHER DEVELOPMENT	1408	LUMP SUM	0.00		0.00	0.00	EMPLOYEE NOT HIRED
	C) DEVELOPMENT CONSULTANTS	1408	LUMP SUM	150,888.85		150,888.85	150,888.85	WORK IN PROGRESS
	SUBTOTAL A/C 1408			150,888.85	0.00	150,888.85	150,888.85	
HA-WIDE	ADMINISTRATION							
	MODERNIZATION & ASSISTANT MOD.							
	COORDINATOR, SR. BOOKKEEPER,							
	SR. TYPIST, EXECUTIVE DIRECTOR							
	W/ BENEFITS	1410	LUMP SUM	232,866.00		232,866.00	216,977.89	EMPLOYEES HIRED
	SUBTOTAL A/C 1410			232,866.00	0.00	232,866.00	216,977.89	

(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: 2/23/2005

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

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
HA-WIDE								
<u>FEES & COSTS</u>								
	A&E SERVICES AND TESTING	1430	LUMP SUM	225,757.60		225,757.60	152,937.65	WORK IN PROGRESS
	SUBTOTAL A/C 1430			225,757.60	0.00	225,757.60	152,937.65	
<u>SITE IMPROVEMENTS</u>								
NY06P006002	LANDSCAPING, SIDEWALK							
N.D. PETERS MANOR	REPLACEMENTS	1450	LUMP SUM	0.00		0.00	0.00	NO CONTRACT AWARDED
	ELECTRICAL OVERHEAD LINES AND POLES	1450	LUMP SUM	0.00		0.00	0.00	NO CONTRACT AWARDED
	GROUND WATER REDUCTION	1450	LUMP SUM	109,999.00		109,999.00	109,999.00	WORK IN PROGRESS
NY06P006004								
PERRETTA								
TWIN TOWERS	REPAVE LOT "B"	1450	LUMP SUM	21,200.00		21,200.00	21,200.00	COMPLETE
NY06P006010								
GOLDBAS HOMES	GRADING AND LANDSCAPING	1450	LUMP SUM	0.00				NO CONTRACT AWARDED
	SUBTOTAL A/C 1450			131,199.00	0.00	131,199.00	131,199.00	
<u>DWELLING STRUCTURES</u>								
NY06P006004	ELEVATOR UPGRADES	1460	AS SCHED.	29,323.00		29,323.00	29,323.00	WORK IN PROGRESS
PERRETTA								
TWIN TOWERS	COMMON AREA RENOVATIONS	1460	LUMP SUM	0.00		0.00	0.00	WORK IN PROGRESS
	APARTMENT RENOVATIONS	1460	AS. SCHED.	0.00		5,270.00	5,270.00	NO CONTRACT AWARDED

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

Signature of Executive Director and Date

2/23/2005

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

Development Number/Name Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
	<u>DWELLING EQUIPMENT</u>							
NY06P006004								
PERRETTA	REPLACE STOVES AND							
TWIN TOWERS	REFRIGERATORS	1465	AS NEEDED	67,100.00		67,100.00	67,100.00	WORK COMPLETED
NY06P006010								
WASHINGTON	REPLACE STOVES AND							
COURTS	REFRIGERATORS	1465	AS NEEDED	0.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006007								
MARINO								
RUGGIERO/	REPLACE STOVES AND							
DUPLEXES	REFRIGERATORS	1465	AS NEEDED	41,249.94		41,249.94	41,249.94	WORK COMPLETEED
NY06P006010								
F.X. MATT	REPLACE STOVES AND							
APARTMENTS	REFRIGERATORS	1465	AS NEEDED	771.00		771.00	771.00	WORK COMPLETED
NY06P006010								
HUMPHREY	REPLACE STOVES AND							
GARDENS	REFRIGERATORS	1465	AS NEEDED	771.00		771.00	771.00	WORK COMPLETED
NY06P006010								
GILLMORE	REPLACE STOVES AND							
VILLAGE	REFRIGERATORS	1465	AS NEEDED	8,333.00		8,333.00	8,333.00	WORK COMPLETED
NY06P006002								
N. D. PETERS	REPLACE STOVES AND							
MANOR	REFRIGERATORS	1465	AS NEEDED	2,800.00		2,800.00	2,800.00	WORK COMPLETED

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Signature of Executive Director and Date

2/23/2005

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

Development Number/Name Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
NY006P006001								
ADREAN TERRACE	REPLACE STOVES AND REFRIGERATORS	1465	AS NEEDED	980.00		980.00	980.00	WORK COMPLETED
	SUBTOTAL A/C 1465			122,004.94	0.00	122,004.94	122,004.94	
	NON DWELLING STRUCTURES							
NY006P006001								
ADREAN TERRACE	STORAGE SHED RENOVATIONS	1470	LUMP SUM	0.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006007								
MARINO RUGGIERO/ DUPLEXES	SECURITY & ACCESS SYSTEM	1470	LUMP SUM	7,925.00		7,925.00	7,925.00	COMPLETED
NY06P006004								
PERRETTA TWIN TOWERS	ADMINISTRATIVE OFFICE ADDITION/ RENOVATE EXISTING SPACE	1470	LUMP SUM	10,511.38		10,511.38	10,511.38	COMPLETED
NY06P006002								
N. D. PETERS MANOR	COMPUTER LEARNING CENTER	1470	LUMP SUM	34,898.41		34,898.41	34,898.41	WORK IN PROGRESS
	SUBTOTAL A/C 1470			53,334.79	0.00	53,334.79	53,334.79	
	NON DWELLING EQUIPMENT							
HA WIDE	OFFICE FURNITURE AND EQUIPMENT	1475		1,093.99		1,093.99	1,093.99	COMPLETED
	SUBTOTAL A/C 1475			1,093.99	0.00	1,093.99	1,093.99	

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Signature of Executive Director and Date

2/23/2005

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

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
DEMOLITION								
NY06P006010	DEMOLITION	1485	LUMP SUM	85,193.18		85,193.18	85,193.18	COMPLETED
GOLDBAS								
HOMES	SUBTOTAL A/C 1485			85,193.18	0.00	85,193.18	85,193.18	
RELOCATION COSTS								
HA WIDE	RELOCATION TO ACCOMPLISH RENOVATIONS AND DEMOLITION	1495		12,100.91		12,100.91	4,415.68	WORK IN PROGRESS
	SUBTOTAL A/C 1495			12,100.91	0.00	12,100.91	4,415.68	
DEVELOPMENT ACTIVITIES								
HA WIDE	MIXED FINANCING PROGRAM TO SELL BONDS BACKED BY CFP ALLOCATIONS FOR HOPE VI DEMO AND REVITALIZATION, ENERGY PERFORMANCE CONTRACTING AND REDEVELOPMENT PROJECTS.	1499		0.00		0.00	0.00	NO CONTRACT AWARDED
	SUBTOTAL A/C 1499			0.00	0.00	0.00	0.00	
GRAND TOTAL				2,268,175.00	0.00	2,268,175.00	2,139,026.05	
				0.00				

(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 <p style="text-align: center;">2/23/2005</p>	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
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**Annual Statement/
Performance and Evaluation Report
Part III: Implementation Schedule
Capital Fund Program (CFP)**

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

CFP FY2002

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

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
NY06P006001 ADREAN TERRACE	12/31/2003		12/31/2003	6/30/2005			
NY06P006002 N.D. PETERS	12/31/2003		7/11/2003	6/30/2005			
NY06P006004 PERRETTA TOWERS	12/31/2003		9/4/2003	6/30/2005			
NY06P006007 MARINO-RUGGIERO/DUPLEXES	12/31/2003		12/31/2003	6/30/2005			
NY06P006010 WASHINGTON COURTS	12/31/2003			6/30/2005			
GOLDBAS HOMES	12/31/2003			6/30/2005			
F.X. MATT APARTMENTS	12/31/2003		1/9/2003	6/30/2005			
HUMPHREY GARDENS	12/31/2003		12/5/2003	6/30/2005			
GILLMORE VILLAGE	12/31/2003		12/31/2003	6/30/2005			
MANAGEMENT IMPROVEMENTS	12/31/2003		7/22/2003	6/30/2005			
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 2/23/2005				Signature of Public Housing Director/Office of Native American Programs Administrator and Date			

Facsimile of form HUD-52837 (10/96)
ref Handbook 7485.3

**Annual Statement/Performance and Evaluation Report
Capital Fund Program (CFP) Part I: Summary**

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

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

HA Name: Municipal Housing Authority of the City of Utica, New York		Comprehensive Grant number NY06R00650102		FFY of Grant Approval 2002	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disaster/Emergencies <input type="checkbox"/> Revised Annual Statement /Revision Number <input checked="" type="checkbox"/> Performance and Evaluation Report for Program Year Ending <u>12/31/2004</u> <input type="checkbox"/> 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	1406 Operations (May not exceed 10% of line 19)	\$ -		\$ -	\$ -
3	1408 Management Improvements	\$ -		\$ -	\$ -
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	\$ -		\$ -	\$ -
11	1465 Dwelling Equipment-Nonexpendable	\$ -		\$ -	\$ -
12	1470 Nondwelling Structures	\$ -		\$ -	\$ -
13	1475 Nondwelling Equipment	\$ -		\$ -	\$ -
14	1485 Demolition	\$ -		\$ -	\$ -
15	1490 Replacement Reserves	\$ -		\$ -	\$ -
16	1495.1Relocation Costs	\$ -		\$ -	\$ -
17	1498 Mod Used For Development	\$ 246,770.00		\$ 162,971.67	\$ 102,438.01
18	1502 Contingency (may not exceed 8% of line 19)	\$ -		\$ -	\$ -
19	Amount of Annual Grant (Sum of lines 2-18)	\$ 246,770.00		\$ 162,971.67	\$ 102,438.01
20	Amount of Line 19 Related to LBP Activites	\$ -			
21	Amount of Line 19 Related to Section 504 Compliance	\$ -			
22	Amount of Line 19 Related to Security	\$ -			
23	Amount of Line 19 Related to Energy Conservation Measures	\$ -			
Signature of Executive Director and Date		Signature of Public Housing director/Office of Native Programs Adminstrator and Date.			
2/22/2005					

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/
Performance and Evaluation Report
Part III: Implementation Schedule
Capital Fund Program (CFP)**

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

RHF FY2002

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

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
CITY OF UTICA WIDE	8/30/2005			8/30/2007			
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 2/22/2005				Signature of Public Housing Director/Office of Native American Programs Administrator and Date			

Facsimile of form HUD-52837 (10/96)
ref Handbook 7485.3

Annual Statement/Performance and Evaluation Report
Capital Fund Program (CFP) Part I: Summary

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

HA Name: Municipal Housing Authority of the City of Utica, New York		Comprehensive Grant number NY06P00650101		FFY of Grant Approval 2001	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disaster/Emergencies <input type="checkbox"/> Revised Annual Statement / Revision Number _____ <input checked="" type="checkbox"/> Performance and Evaluation Report for Program Year Ending <u>12/31/2004</u> <input type="checkbox"/> 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	1406 Operations (May not exceed 10% of line 19)	\$ 359,778.00		\$ 359,778.00	\$ 359,778.00
3	1408 Management Improvements	\$ 346,447.00		\$ 346,447.00	\$ 346,447.00
4	1410 Administration	\$ 239,852.00		\$ 239,852.00	\$ 239,852.00
5	1411 Audit	\$ -		\$ -	\$ -
6	1415 Liquidated Damages	\$ -		\$ -	\$ -
7	1430 Fees and Costs	\$ 131,267.16		\$ 131,267.16	\$ 114,823.09
8	1440 Site Acquisition	\$ -		\$ -	\$ -
9	1450 Site Improvement	\$ -		\$ -	\$ -
10	1460 Dwelling Structures	\$ 1,171,991.78		\$ 1,171,991.78	\$ 1,139,919.88
11	1465 Dwelling Equipment-Nonexpendable	\$ 34,510.00		\$ 34,510.00	\$ 34,510.00
12	1470 Nondwelling Structures	\$ 44,803.06		\$ 44,803.06	\$ 44,803.06
13	1475 Nondwelling Equipment			\$ -	\$ -
14	1485 Demolition	\$ -		\$ -	\$ -
15	1490 Replacement Reserves	\$ -		\$ -	\$ -
16	1495.1Relocation Costs	\$ 16.00		\$ 16.00	\$ 16.00
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)	\$ 2,328,665.00	\$ -	\$ 2,328,665.00	\$ 2,280,149.03
20	Amount of Line 19 Related to LBP Activites	\$ 200,000.00			
21	Amount of Line 19 Related to Section 504 Compliance	\$ -			
22	Amount of Line 19 Related to Security	\$ -			
23	Amount of Line 19 Related to Energy Conservation Measures	\$ 217,500.00			
Signature of Executive Director and Date 2/25/2004			Signature of Public Housing director/Office of Native Programs Adminstrator 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

ref Handbook 7485.3

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
NY06P006004				0.00		0.00	0.00	DELETE
PERRETTA	Apartment Renovations	1460		0.00		0.00	0.00	DELETE
TWIN TOWERS	Elevator Upgrades	1460		21,169.48		21,169.48	21,169.48	COMPLETE
	Appliances: Stoves & Refrigerators	1465		0.00		0.00	0.00	DELETE
	New Administrative Office Addition	1470		0.00		0.00	0.00	DELETE
	Access & Security Systems	1470		15,506.42		15,506.42	15,506.42	COMPLETE
	Furniture & Equipment	1475		0.00		0.00	0.00	DELETE
	SUBTOTAL			36,675.90	0.00	36,675.90	36,675.90	
NY06P006007	Apartment Renovations	1460		0.00		0.00	0.00	DELETE
MARINO	Kitchen Improvements	1460		0.00		0.00	0.00	DELETE
RUGGIERO/	Appliances: Stoves & Refrigerators	1465		0.00		0.00	0.00	DELETE
DUPLEXES	Apartment Renovations	1460		0.00		0.00	0.00	DELETE
	Appliances: Stoves & Refrigerators	1465		0.00		0.00	0.00	DELETE
	SUBTOTAL			0.00	0.00	0.00	0.00	

(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 2/22/2005	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
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Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
NY06P006010								
WASHINGTON	Kitchen Improvements	1460		0.00		0.00	0.00	DELETE
COURTS	Appliances: Stoves & Refrigerators	1465		0.00		0.00	0.00	DELETE
	Access & Security Systems	1470		3,128.37		3,128.37	3,128.37	COMPLETE
	SUBTOTAL			3,128.37	0.00	3,128.37	3,128.37	
NY06P006010	Apartment Renovations	1460		0.00		0.00	0.00	DELETE
F.X. MATT	Kitchen Improvements	1460		0.00		0.00	0.00	DELETE
APARTMENTS	Appliances: Stoves & Refrigerators	1465		0.00		0.00	0.00	DELETE
	Access & Security Systems	1470		2,905.64		2,905.64	2,905.64	COMPLETE
	SUBTOTAL			2,905.64	0.00	2,905.64	2,905.64	
NY06P006010	Cycle Painting	1460		50,000.00		50,000.00	50,000.00	WORK IN PROCESS
GILLMORE	Kitchen Improvements	1460		0.00		0.00	0.00	DELETE
VILLAGE	Apartment Renovations	1460		462,620.07		462,620.07	439,575.44	WORK IN PROCESS
	Unit Conversions	1460		25,306.44		25,306.44	25,306.44	COMPLETE
	Appliances: Stoves & Refrigerators	1465		21,285.00		21,285.00	21,285.00	COMPLETE
	Access & Security System	1470		2,692.29		2,692.29	2,692.29	COMPLETE
	SUBTOTAL			561,903.80	0.00	561,903.80	538,859.17	

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Signature of Executive Director and Date

2/22/2005

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

Development Number/Name HA - Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimated Cost		Total Actual Cost		Status of Proposed Work (2)
				Original	Revised (1)	Funds Obligated (2)	Funds Expended(2)	
ADMINISTRATION	(A) Mod. & Assistant Mod. Coordinator, Sr. Bookkeeper, Sr. Typist, Executive Director w/Benefits	1410		239,852.00		239,852.00	239,852.00	EMPLOYEES HIRED
	SUBTOTAL			239,852.00	0.00	239,852.00	239,852.00	
FEES & COSTS	A&E Services and Testing	1430		131,267.16		131,267.16	114,823.09	WORK IN PROGRESS
	SUBTOTAL			131,267.16	0.00	131,267.16	114,823.09	
OPERATIONS	HA-Wide Operating Expenses Normally paid by Operating Subsidy	1406	1	359,778.00		359,778.00	359,778.00	COMPLETE
				359,778.00	0.00	359,778.00	359,778.00	
HA WIDE	Mixed financing program to sell Bonds backed by CFP allocations. For HOPE VI Demo & Revitalization, energy performance contracting and redevelopment projects.	1460		0.00		0.00	0.00	DELETE
				0.00	0.00	0.00	0.00	
	GRAND TOTAL			2,328,665.00	289,972.73	2,328,665.00	2,280,149.03	

(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 2/22/2005	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
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**Annual Statement/
Performance and Evaluation Report
Part III: Implementation Schedule
Capital Fund Program (CFP)**

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

CFP FY2001

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

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
NY06P006001 ADREAN TERRACE	12/31/2002		12/31/2002	6/30/2004			
NY06P006002 N.D. PETERS	12/31/2002		9/18/2002	6/30/2004		10/31/2003	
NY06P006004 PERRETTA TOWERS	12/31/2002		8/14/2002	6/30/2004		12/31/2003	
NY06P006007 MARINO-RUGGIERO	12/31/2002		DELETE	6/30/2004		DELETE	
NY06P006010 WASHINGTON COURTS	12/31/2002		4/26/2002	6/30/2004		12/31/2003	
GOLDBAS HOMES	N/A		N/A	N/A		N/A	
F.X. MATT APARTMENTS	12/31/2002		4/26/2002	6/30/2004		12/31/2003	
HUMPHREY GARDENS	12/31/2002		12/11/2002	6/30/2004			
GILLMORE VILLAGE	12/31/2002		12/31/2002	6/30/2004			
MANAGEMENT IMPROVEMENTS	12/31/2002		9/8/2002	6/30/2004		8/31/2004	
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 2/22/2005				Signature of Public Housing Director/Office of Native American Programs Administrator and Date			

Facsimile of form HUD-52837 (10/96)
ref Handbook 7485.3

**Annual Statement/Performance and Evaluation Report
Capital Fund Program (CFP) Part I: Summary**

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

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

HA Name: Municipal Housing Authority of the City of Utica, New York		Comprehensive Grant number NY06R00650101		FFY of Grant Approval 2001	
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disaster/Emergencies <input type="checkbox"/> Revised Annual Statement /Revision Number <input checked="" type="checkbox"/> Performance and Evaluation Report for Program Year Ending <u>12/31/2004</u> <input type="checkbox"/> 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	1406 Operations (May not exceed 10% of line 19)	\$ -		\$ -	\$ -
3	1408 Management Improvements	\$ -		\$ -	\$ -
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	\$ 254,570.00	\$ 130,234.19	\$ 130,234.19	\$ 130,234.19
11	1465 Dwelling Equipment-Nonexpendable	\$ -		\$ -	\$ -
12	1470 Nondwelling Structures	\$ -		\$ -	\$ -
13	1475 Nondwelling Equipment	\$ -		\$ -	\$ -
14	1485 Demolition	\$ -		\$ -	\$ -
15	1490 Replacement Reserves	\$ -		\$ -	\$ -
16	1495.1Relocation Costs	\$ -		\$ -	\$ -
17	1499 DEVELOPMENT ACTIVITIES	\$ -	\$ 124,335.81	\$ 124,235.81	\$ 115,110.28
18	1502 Contingency (may not exceed 8% of line 19)	\$ -		\$ -	\$ -
19	Amount of Annual Grant (Sum of lines 2-18)	\$ 254,570.00		\$ 254,470.00	\$ 245,344.47
20	Amount of Line 19 Related to LBP Activites	\$ -			
21	Amount of Line 19 Related to Section 504 Compliance	\$ -			
22	Amount of Line 19 Related to Security	\$ -			
23	Amount of Line 19 Related to Energy Conservation Measures	\$ -			
Signature of Executive Director and Date		2/23/2005		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/
Performance and Evaluation Report
Part III: Implementation Schedule
Capital Fund Program (CFP)**

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

RHF FY2001

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

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates (2)
	Original	Revised (1)	Actual (2)	Original	Revised (1)	Actual (2)	
NY06P006010 GILLMORE VILLAGE	12/31/2002		12/31/2002	6/30/2004		6/30/2003	
CITY OF UTICA - WIDE	8/30/2005			8/30/2007			
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 2/23/2005				Signature of Public Housing Director/Office of Native American Programs Administrator and Date			

Facsimile of form HUD-52837 (10/96)
ref Handbook 7485.3

Attachment N

Municipal Housing Authority of the City of Utica

Annual Plan

Fiscal Year 07/01/2005 – 06/30/2006

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.
14. This pet policy does not apply to animals that are used to assist persons with disabilities. Assistive animals are allowed in all public housing facilities with no restrictions other than those imposed on all residents to maintain their units and associated facilities in a decent, safe, and sanitary manner and to refrain from disturbing their neighbors.

The statutes, regulations and policy regarding pet ownership in public housing are as follows:

- Section 31 of the United States Housing Act
- 24 CFR 960.701 – 707
- Section 227 of the Housing and Urban-Rural Recovery Act of 1983
- 24 CFR 5.300 – 5.327 and 5.380
- Municipal Housing Authority of the City of Utica Admissions and Continued Occupancy Policy
- Municipal Housing Authority of the City of Utica Public Housing Dwelling Lease

Attachment O

Municipal Housing Authority of the City of Utica

Annual Plan

Fiscal Year 07/01/2005 – 06/30/2006

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 P

Municipal Housing Authority of the City of Utica

Annual Plan

Fiscal Year 07/01/2005 – 06/30/2006

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
Reduce public housing vacancies:	Marketing, lease-up and tenant retention programs are being prepared.
Leverage private or other public funds to create additional housing opportunities:	Hope VI Phase 1 (27 Rental Units) is built, Phase 2 (49 Rental Units) is being built and Phase 3 is being applied for. The first 11 single family homes of Hope VI Phase 4 is under construction.

GOAL TWO: IMPROVE THE QUALITY OF ASSISTED HOUSING	
Objective	Progress
Concentrate on efforts to improve specific management functions:	We are attempting to cope with HUD's continuing changes to these Section 8 voucher program. We are attempting to cope with the implications of the Harvard Cost Study.
Demolish or dispose of obsolete public housing:	The HOPE VI Revitalization grant awarded March 19, 2003 includes funds for demolition of Washington Courts. Demolition should occur by December, 2005.

GOAL THREE: INCREASE ASSISTED HOUSING CHOICES	
Objective	Progress
Implement homeownership opportunities:	We are implementing homeownership programs as part of HOPE VI and Replacement Housing Factor Funding.

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. See Attachment S to this Annual Plan submission.
Implement measures to improve management responsiveness to tenants.	The newsletter is scheduled to be published quarterly and maintenance responsiveness is being evaluated with new work order accounting systems.

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. We give occupancy preference to working families. This objective is being accomplished.
Provide or attract supportive services to improve assistance recipients' employability:	We have established an on going network of bi-weekly meetings with area agencies. This objective is being accomplished.

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. 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.	The manager's have been trained to operate as an adaptive organization; able to make innovative and timely adjustments to changing circumstances. Some non-managers are resisting change to project based asset management accountability.

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. This objective has been accomplished.
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 currently have an adequate list of potential landlords. However, we may be conducting owner outreach to new landlords during the ensuing fiscal year. This objective is being accomplished.

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.	The SEMAP assessment process for FY 2001 rated the Housing Authority as a Standard Performer with an overall score of 72%. This objective has been accomplished.
2. HUD shall recognize the Municipal Housing Authority of the City of Utica as a standard to a high performer under SEMAP for our fiscal year ending June 30, 2005.	The SEMAP score for YE 6/30/03 was 104%. SEMAP submission for 6/30/04 was not submitted due to HUD waiver for small PHA's who administer Section 8 (24CFR 985.105(2))

GOAL NINE: MAINTAIN THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S PROPERTIES IN A DECENT CONDITION	
Objective	Progress
1. The Municipal Housing Authority of the City of Utica will deliver timely and high quality maintenance services to the residents.	A new apartment preparation accounting system has been developed. New preventive maintenance measures are being created.

GOAL TEN: ENHANCE THE MARKETABILITY OF THE MUNICIPAL HOUSING AUTHORITY OF THE CITY OF UTICA'S PUBLIC HOUSING UNITS	
Objective	Progress
1. 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.	Maintenance, Modernization, Housing Management and Executive staff routinely meet to review issues related to REAC scores and apartment preparation. The Housing Managers are being given authority to make decisions concerning the appearance of their sites.

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

Objective	Progress
<p>1. The Municipal Housing Authority of the City of Utica shall assist its resident organizations in strengthening their capacity and effectiveness.</p>	<p>The Housing Authority continues its effort to organize the tenants, to improve feedback to management and better communication of activities. .</p>

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

Objective	Progress
<p>1. The Municipal Housing Authority of the City of Utica shall reduce crime in its developments. This is an on-going objective.</p>	<p>A new security procedures manual needs to be prepared.</p>

Attachment Q

Municipal Housing Authority of the City of Utica

Annual Plan

Fiscal Year 07/01/2005 - 06/30/2006

Required Attachment: Resident Member on the PHA Governing Board

1. Yes No: Does the PHA governing board include at least one member who is directly assisted by the PHA this year? (if no, skip to #2)

A. Name of resident member(s) on the governing board:

Linda Mesagna

B. How was the resident board member selected: (select one)?

- Elected
 Appointed

C. The term of appointment is (include the date term expires): **Linda Mesagna: 2 year term expiring 06/30/05**

2. A. If the PHA governing board does not have at least one member who is directly assisted by the PHA, why not? - **NA**

- the PHA is located in a State that requires the members of a governing board to be salaried and serve on a full time basis
 the PHA has less than 300 public housing units, has provided reasonable notice to the resident advisory board of the opportunity to serve on the governing board, and has not been notified by any resident of their interest to participate in the Board.
 Other (explain):

B. Date of next term expiration of a governing board member: **12/20/05**

C. Name and title of appointing official(s) for governing board (indicate appointing official for the next position):

Mayor Timothy Julian

Attachment R

Municipal Housing Authority of the City of Utica

Annual Plan

Fiscal Year 07/01/2005 – 06/30/2006

Required Attachment: 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

Mary Gazzilli

Karen Retamar

Roselyn Hoffman

Stephanhia Zhushma

Attachment S

Municipal Housing Authority of the City of Utica

Annual Plan

Fiscal Year 07/01/2005 – 06/30/2006

Attachment: Comments of the Resident Advisory Board or Boards

April 11, 2005

The Resident Advisory Board (RAB) convened on April 11, 2005 at 2:00 PM in the Board Room at 509 Second Street for the purpose of:

- 1) discussing the Municipal Housing Authority's (MHA) Agency Plan; and
- 2) explaining the upcoming tenant survey necessary associated with the Public Housing Assessment System (PHAS).

Steve Kambic conducted the April 11th meeting attended by a total of 10 persons; 6 being residents. Mr. Kambic explained the purposes of the RAB, provided copies of the draft Agency Plan, and clarified why HUD would soon be sending questionnaires to residents as part of the PHAS scoring process. The residents agreed that a second meeting of the RAB should take place on Thursday, April 14, 2:00 PM at the Vega Center to go over the same information and obtain any additional comments. The seniors attending the meeting requested that the MHA furnish transportation to the Vega Center and Dave Zogby assured them it would be available.

Question: Regarding the Agency Plan, residents indicated that they were glad the MHA was rebuilding kitchens and replacing windows but that they would like even more money spent for these purposes. They also indicated that any stoves less than the standard 30" never worked very well and that they would prefer kitchens rebuilt with less cabinets if that allowed for the installation of standard 30" stoves.

Response: MHA will consider allocating more funds for Apartment renovations.

Question: Residents stated that the MHA has cut back on its hours of operation for youth activities. Dave Zogby indicated this occurred due to budget cuts in staffing but that efforts were being made to partner with other agencies to make up for the cutbacks.

Response: MHA will seek other funding sources

Question: It was also stated that metal closet doors are failing and the Maintenance staff indicates replacement doors are no longer available. Mr. Kambic indicated that this will be discussed with the Maintenance and Modernization departments as the necessary since rebuilding of closet openings with new solid core doors is beyond the scope of the Maintenance staff to accomplish.

Response: The Maintenance and Modernization Departments coordination of efforts for closets will be reviewed.

Question: Plumbing problems associated with the shower head at 55 E Adrean Terrace were also discussed and would be investigated to address this situation and determine if this was an isolated or pervasive problem.

Response: The Maintenance Department will report as to the cause.

April 14, 2005

This was the second meeting that was held regarding the Resident Advisory Board (RAB). The meeting took place on April 14, 2005 at 2:00pm in the Vega Martinez Center, which is located at our Adrean Terrace Housing Complex. The purpose of this meeting was:

1. To inform our residents that HUD annually hires a private company to send out questioners to tenant's to get feedback from them about our housing authority.
2. To inform them about the upcoming Tenant Elections.
3. To receive questions or comments concerning residents about things that are happening at the housing authority.

Steve Kambic conducted the April 14th meeting attended by a total of 26 people; 21 being residents. Residents came from our Adrean Terrace Development, FX Matt's Development, Chancellor Development and Marino-Ruggerio Development. Mr. Kambic explained the purposes of the RAB, and why HUD would soon be sending questionnaires to residents as part of the PHAS scoring process. Mr. Kambic also asked how many residents have received the questioner that has been sent out in the past. We found out that at least 5 residents had received one of these questioners in the past. Mr. Kambic also noted that it is important but not necessary to fill out the questioner and send it back so the housing authority can improve in areas where we need to. Mr. Kambic explained that HUD does not directly send these out to our tenants. HUD hires a private company to send out and receive these questioners and then the private company will send the responses to HUD which then HUD will send to the Utica Housing Authority.

Mr. Kambic then informed the residents that the Tenant Elections will be coming up on April 25, 2005. Any resident that is 18 years and older and also that you appear on lease can come and vote from 12:00pm till 6:00pm at either the Vega Martinez Community Center, Humphrey Gardens Management Office, Gillmore Village Management Office, Perretta Twin Towers Community Room, Chancellor Community Room, or Marino-Ruggerio Community Room. There is currently one opening available and there are 2 names that are on the ballot. Mr. Kambic encourages everyone to vote.

While holding this meeting, residents had concerns about things at the housing authority. Some of the concerns were regarding Security, Cycle Painting, and about our Answering Service.

Question: Residents wanted to know the status of our security department?

Response: Mr. Kambic informed everyone that in the fall we had 3 different shifts of security along with a part-time supervisor. Unfortunately due to cuts from HUD we had to move to one shift, 7 days a week at night. Mr. Kambic told everyone that he has informed our security to do the best job that they can and to provide the best service they can when they are on duty. HUD also has taken away the Drug Elimination Grant that we used to have that we were able to provide a lot more service in the security field.

Question: Residents wanted to know about painting of their apartments?

Response: Mr. Kambic told everyone that every apartment should have been painted within a 5 year period. We had contractors that had come in and provided that service to the housing authority. On March 1st, 2005 the MHA hired 2 painters that would be painting all the apartments from now on. This is what we consider to be our Cycle Painting Project.

Question: Residents have informed Mr. Kambic of our answering service not being as polite as they could be. Also that residents believe they are receiving the wrong information from our Answering Service regarding the hours of our security department.

Response: Mr. Kambic informed the residents that if they felt they were not getting the proper service, to ask for the individuals name, remember when they called, and then contact either there Tenant Relation, Project Manager, or Madeline Barlow who is our office manager and inform them about there experience.

This Meeting started at 2:05pm and ended at 2:45pm on April 14, 2005.