

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

PHA Plans

5 Year Plan for Fiscal Years 2005 - 2009

Annual Plan for Fiscal Year 2009

**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, New York

PHA Number: NY006

PHA Fiscal Year Beginning: (mm/yyyy) 01/2009

PHA Programs Administered:

Public Housing and Section 8
 Section 8 Only
 Public Housing Only
 Number of public housing units: 860
 Number of S8 units:
 Number of public housing units:
 Number of S8 units: 148

PHA Consortia: (check box if submitting a joint PHA Plan and complete table)

Participating PHAs	PHA Code	Program(s) Included in the Consortium	Programs Not in the Consortium	# of Units Each Program
Participating PHA 1:				
Participating PHA 2:				
Participating PHA 3:				

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 Utica Municipal Housing Authority of the City of Utica, New York (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.

B. Goals

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

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

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

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

PHA Goal: Increase assisted housing choices

Objectives:

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

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

PHA Goal: Provide an improved living environment

Objectives:

- Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
- Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
- Implement public housing security improvements: 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 in 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:

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 01/01/2009 – 12/31/2009
[24 CFR Part 903.7]

i. Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

Standard Plan

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, New York (UMHA) has prepared this Agency Plan in compliance with the Quality Housing and Work Responsibility Act (QHWRA) of 1998 and related HUD requirements. The plan was developed with the input of residents of public housing and the public. Three meetings of our Resident Advisory Board were held to discuss the plan. The UMHA provided a 45-day public review period and held a public hearing for residents and the public to comment on the draft plan. In addition, the public had an opportunity to submit written comments on the draft plan. Finally, a public hearing was held to gather input on the plan prior to submission to HUD.

The final Agency plan was available for public review at the Authority's main office. Copies of the final plan were also being available at each development's Management Office and have been provided to the Resident Advisory Board.

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, New York 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 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 Municipal Housing Authority of the City of Utica, New York promotes adequate and affordable housing, economic opportunity, and a suitable living environment for the families that we serve, without discrimination.

The Housing Authority continues to meet or exceed established industry standards in the areas of asset management, maintenance, fiscal responsibility and development. We have implemented some innovative programs that have served to further improve our service delivery as a result of asset management.

The ever-decreasing federal funds create obstacles that make strategic planning even more vital if the Authority is to continue in the achievement of its overall mission. Our primary goal is the provision of safe and affordable housing. In partnership with the City of Utica, our HOPE VI Revitalization initiative helps to serve as the catalyst in revitalizing neighborhoods, and improve the condition and availability of affordable housing in the City of Utica. In tandem with other Authority programs, the housing needs of Utica's low-income residents will continue to be addressed.

Following are a few components of our Annual Plan that are either not mentioned elsewhere in the Plan Template or that warrant further reference:

SUMMARY OF POLICY CHANGES

During the annual planning process this year, we have made the following changes to our policies based on changes in statutes and/or HUD regulations that have occurred in the past year.

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

The UMHA has amended its ACOP to include the following changes:

1. The UMHA has developed a Housekeeping Policy that clearly defines the standards upon which every public housing unit owned or managed by the housing authority is inspected annually.
2. The UMHA has strengthened its Community Service/Economic Self-Sufficiency Activities Policy to accurately reflect the applicable federal regulations. Exemptions to the policy have been highlighted; service requirements have been clearly explained; and the ramifications of non-compliance have been amended to comply with law.
3. The UMHA has implemented a new policy to ensure compliance with HUD regulations in reference to full-time students. This

policy will ensure that the housing authority admits students who meet HUD residency eligibility guidelines.

4. A policy has been approved to reconcile conflicting regulations governing resident selection and eligibility in mixed finance units.
5. The UMHA has adopted a policy to conform to HUD guidance with ensuring access of Limited English Proficient residents to affordable housing programs.

In addition, we are making the following changes to our public housing program in response to operating budget, funding, and regulatory challenges:

- **IMPLEMENTATION OF PROJECT-BASED BUDGETING AND ACCOUNTING**

Pursuant to new operating fund mandates by HUD, the UMHA has transitioned to a project-based budgeting/accounting (PBBA) system. The new system requires the UMHA to maintain budgets and accounts for each Asset Management Project (AMP) in order to keep a real-time report of the actual revenues and expenses associated with each AMP. The PBBA system serves as a vehicle for the UMHA in its conformance to new HUD guidelines. Under the previous system, the UMHA received federal funding at the entity level and budgeted for services at the authority-wide level. The PBBA system better enables the UMHA to distinguish the financial costs directly related to the operations of UMHA AMPs from central office costs. As a part of the new PBBA system, the UMHA will be evaluated on both the physical condition of each of its properties, as well as the fiscal performance and management practices conducted in order to adequately maintain its housing stock. Success of the PBBA system will be measured by how much profit the UMHA returns at each of its AMPs. Although funds will be allocated at an AMP level, when a property retains excess revenues, the UMHA may use those funds in a fungible manner. This enables the UMHA to maintain a certain level of flexibility in its expenditures. The PBBA system assists the UMHA in meeting its asset-based management objectives by enabling the housing authority to manage its finances at the micro level; maximizing the likelihood of reducing cost and achieving greater cost effectiveness in federal expenditures. The core principles driving the PBBA system will assist the UMHA in providing greater attention to operating costs, building maintenance, and management at each of the UMHA's properties. As properties are managed more efficiently, operating costs will most likely be reduced. Additionally, when UMHA buildings are better maintained, the less likely it will be that large financial expenditures will be incurred, and material repairs will be kept to a minimum. Through both these strategies, the UMHA is making great strides in reducing costs and achieving greater costs effectiveness in federal expenditures.

- **RESOURCE DEVELOPMENT**

The UMHA will seek financial resources in the form of government, corporate, and private foundation grants from external partners to reduce reliance on HUD funding. For FY 2009, the UMHA plans to raise new sources of external support, develop new collaborations, and leverage in-kind support. The totality of funding received will assist the UMHA in meeting current capital needs and bring rise to community revitalization and family self-sufficiency programs for public housing residents now and in the future. In addition, the UMHA will continue to work with its non-profit affiliate not-for-profit corporation – Rebuild Mohawk Valley, Inc. - to raise and allocate resources to inure to the benefit of public housing residents.

- **CONTINUED PUBLIC HOUSING REVITALIZATION AND COMMUNITY DEVELOPMENT ACTIVITIES.**

The UMHA will continue to work on the revitalization of its public housing stock and complete our successful HOPE VI project. During FY 2009, the housing authority will complete the construction and sale of the final 21 homeownership units through our HOPE VI program. In addition, it plans to apply for HOPE VI and other mixed finance funding to redevelop its Adrean Terrace, Matt Apartments, and N.D. Peters housing developments. Finally, it will begin to explore the feasibility of creating new mixed finance, senior, special needs, and family units to meet Utica’s affordable housing needs.

- **BUILDING RESIDENT SELF-SUFFICIENCY**

In addition to providing affordable housing, the UMHA is offering residents services to promote their well-being and community involvement. During FY 2009, the UMHA will continue to make efforts to promote economic self-sufficiency with the support of targeted social services. Economic self-sufficiency can only become a reality through resident and UMHA commitment. In FY 2009, the UMHA is making a commitment to offer residents an abundance of social service activities. By combining the UMHA’s dedication to social services, with the residents’ commitment to both gaining and sustaining employment, economic self-sufficiency for public housing residents will be an attainable goal in FY 2009.

- **ENERGY CONSERVATION**

Through funding provided by the New York State Energy Research & Development Authority and M&T bank, the UMHA will be making nearly 9 million dollars in new energy conservation and capital improvements. The project is based on energy savings identified in no-cost, comprehensive building energy audits funded by the New York State Energy Research and Development Authority (NYSERDA). The project includes installation of energy recovery ventilation, high efficiency gas furnaces and condensing boilers. UMHA is also insulating attics and replacing incandescent light bulbs with compact fluorescent lamps and older model refrigerators with energy-efficient models.

- **PUBLIC HOUSING SHELTER ALLOWANCE**

The New York State Shelter Allowance Bill was signed into law on August 15, 2007. This legislation creates parity between public housing authorities and private landlords by requiring the New York State Office of Temporary and Disability Assistance to pay public housing authorities the same shelter allowance it pays private landlords when renting to tenants whose income consists of public assistance. The law accelerates the State's proposed schedule of capped increases from 10 years to 3 years. Once fully phased in by the year 2010, the UMHA will realize annual revenue increases.

- **DOMESTIC VIOLENCE REQUIREMENTS**

On January 5, 2006, Congress approved the Violence Against Women's Act (VAWA). The purpose of Title VI of this act is to provide protection of the privacy of women and children who are victims of domestic violence, dating violence, and stalking and ensure that such crimes are not used as grounds for eviction or to deny access to federally assisted housing for the victims.

During 2008 and 2009, the UMHA, implemented or plans to undertake the following actions to ensure conformance with Violence Against Women's Act (VAWA):

- ❖ Notify Section 8 tenants, owners and managers, and Public Housing tenants of rights and obligations under the new VAWA.
- ❖ Include a VAWA Provision in Leases and Assistance contracts to reflect eviction and protection clauses
- ❖ Include a VAWA Provision in HAP contracts
- ❖ Include a VAWA Provision in the Section 8 Administrative Plan
- ❖ Include a VAWA Provision in the Public Housing ACOP
- ❖ Include the Authority's VAWA policy in a list of official policies of the UMHA in its Agency Plan
- ❖ Create a written procedure that will allow affected tenants and participants to certify their status as victims of domestic violence, dating violence or stalking.

In 2009, the UMHA will continue with its efforts to be responsive to the needs of victims of domestic violence (VDV) applying for or residing in public housing while balancing the need to manage the availability of a scarce housing resource. In addition, our Community Resource Department and property management staff will continue to refer child and adult victims of domestic violence, dating violence, sexual assault, or stalking to the following agencies:

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

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

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

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

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

NEW 2009 INITIATIVES

1. Humphrey Gardens Disposition

Ongoing federal disinvestment in public housing has made it necessary for the Municipal Housing Authority of the City of Utica, New York to explore new options to finance housing authority operations to ensure that our housing developments which provide homes for about 1,000 Utica households remain viable. In order to generate new sources of revenue, the UMHA is considering leasing a portion of the grounds of

the Humphrey Gardens development in North Utica to a private developer. The parcel, which will continue to be owned by the UMHA, will be leased to the developer as part of a long-term ground lease agreement. The parcel would be developed into a commercial use such as a banking or medical office facility with an adjoining parking lot. The proposed development site is located at the corner of Euclid Road and Herkimer Road on the grounds of Humphrey Gardens.

A competitive Request for Proposal will be issued to select a developer for the project. The developers must involve public housing residents in the development and operation of the Project. Such involvement may include but is not limited to the development of a community room for resident use, providing residents with an opportunity to apply for construction employment, and construction of other amenities for residents such as a playground.

The proposed project is consistent with the United States Department of Housing and Urban Development Asset-Based Management Initiative which limits the amount of public housing subsidy public housing agencies can use for operating and overhead costs. Asset management and project-based accounting rules require that public housing agencies group their public units into projects, and establish a separate budget for each project. Unlike the current process where funding from HUD is to the public housing agency and the agency may use funds for agency-wide expenses, under the new model, funding is to each project and may only be used for direct costs associated with the project. Given the above, HUD is encouraging housing authorities to generate new income streams to support its public housing development projects. Therefore, the UMHA is considering leasing this parcel to a developer in order to meet the new funding realities of asset-based management as well as diversify its financing base to ensure the long-term financial viability of our public housing developments.

The goals of this project are the following: 1) Maximize the development potential of the site and create new revenue to support the on-going operations of the UMHA; (2) Improve quality of life for existing public housing residents and the surrounding neighborhood by developing the underutilized site into an attractive commercial use; 3) Make public-owned land available for economic development and job creation, and, in turn, enhance the City of Utica's community revitalization efforts.

The UMHA is in the process of securing HUD approval for the disposition of the subject vacant development site and the leasing of the site to a developer. Pursuant to 24 CFR 941, HUD must approve the disposition of the portion of any vacant public housing site and the redevelopment of the site to a new use. UMHA has determined that the Humphrey Gardens development includes vacant land that is incidental to, or does not interfere with, the continued operation of the remaining portion of the development. As part of the HUD review process, the UMHA is required to consult with residents of the affected development as well as resident organizations, conduct a Phase One Environmental Site Assessment, amend its Annual Plan, offer the vacant

land for sale or lease to residents, secure approval of the project from the City of Utica, and submit an inventory removal/disposition application to HUD.

2. Replacement Housing Factor

Pursuant to HUD regulations, a Public Housing Authority (PHA) may receive Replacement Housing Factor (RHF) grants for public housing units demolished or sold for a period of up to five years. A PHA may only develop or acquire public housing rental units with RHF funds. A PHA may accumulate adequate funds to undertake replacement housing for up to five years. A PHA is eligible for another five years of third increment RHF funding, but the funding is not automatic. In order to receive an additional five years of RHF funding, the PHA must apply every time it eligible for another “tier.”

Previously, the UMHA received two increments of RHF funding which was used to finance the development of eight homeownership units for low-income residents. In 2008, the UMHA was approved for a new RHF third increment funding cycle in the amount of \$265,148. The housing authority intends to accumulate funding for the first three years and start construction in the fourth year (2012). In order to generate new revenue for the housing authority and meet local housing needs, the housing authority intends to develop new mixed finance public housing rental units. The housing authority will seek to leverage non-public housing funds to supplement the RHF funds. A construction loan will be secured to provide short-term financing for the project until all RHF funds are received from HUD. Once RHF funding for subsequent years is awarded, the Housing Authority will be submitting to HUD a final development plan for the use of these funds. The development plan will include the following:

- a. The total units to be developed,
- b. The development method (e.g., new construction, acquisition with or without rehabilitation),
- c. Structure type (single family, row, walk-up, etc.).
- d) Schedule.

The total number of units to be developed will be contingent upon the cumulative amount of RHF funds received from HUD as well as funding leveraged from other sources. At this time, the UMHA is exploring multiple development methods and feasibility of different structure types. The final schedule for the project will be determined by HUD and other financing restrictions.

3. Section 8 Homeownership Program

The Municipal Housing Authority of the City of Utica, New York (UMHA) was recently awarded a grant of \$250,000 from the United States Department of Housing and Urban Development to establish the Utica Homeownership Supportive Services (HSS) Program to help residents of our public housing projects to become

homeowners. In partnership with local financial institutions, and other community and faith-based organizations, UMHA is providing coordinated outreach resident assessment, homeownership training, individual savings accounts, homeownership vouchers, supportive services, and on-going participant monitoring. A requirement of this grant is to provide homeownership vouchers through the housing authority's Section 8 Program to clients to facilitate purchase of homes.

HUD allows housing authorities to develop Section 8 homeownership programs which are intended to promote homeownership for qualified Section 8 Housing Choice participants. The program provides continued monthly homeownership assistance payments to reduce a family's monthly mortgage payment, as well as pay for other monthly homeownership expenses. Such expenses include mortgage insurance premium, real estate taxes, homeowners insurance, and principal and interest on the debt to finance manor repairs and replacements for the home.

The UMHA seeks to amend its Section 8 administrative plan to enable it to implement the Section 8 Homeownership Voucher Program. We plan to make Homeownership Vouchers available to eligible families who successfully complete training and other program requirements under Homeownership Supportive Services Program. The Section 8 Homeownership Voucher program will also be open to existing Section 8 clients. The housing authority will be providing a preference for its Section 8 program to enroll these clients into the program. The proposed preference will be the following: Households who are current residents in public housing program who have been in the Self-Sufficiency, ROSS Family, Homeownership Supportive Services, and other resident service program for at least one year and are in good standing in that program.

Once clients are awarded the Homeownership voucher, they will be transferred (ported) to the City of Utica or New York State Division of Housing and Community Renewal Section 8 Program which will absorb the cost of providing voucher assistance. This will make it possible for the housing authority to award new vouchers to eligible clients and continue to serve the housing needs of local residents.

4. Expanding Entrepreneurial Capacity

The UMHA is committed to maximizing our effectiveness in achieving our mission by making the best use of our real estate assets, diversifying funding, developing partnerships, expanding our entrepreneurial capabilities and reducing dependence on federal funding. The UMHA will continue to renovate and fully develop our public housing properties to improve management cost-effectiveness and competitiveness in the low-income housing market, strengthen communities and broaden affordable housing options in the City of Utica. We will explore using bonding, tax credits, and other funding mechanisms to revitalize our public housing stock in order to comprehensively address long-term maintenance needs.

During the next fiscal year, the UMHA will undertake revenue generating partnerships, programs and entrepreneurial activities. It will pursue strategic acquisition of residential properties for rehabilitation, repositioning and resale with income restrictions in order to produce revenue for cross-subsidy of low-income housing. The UMHA will explore the feasibility of developing and/or managing student housing in collaboration with community partners to meet the increasing need for off-campus housing.

The UMHA will implement fund development strategies to support our resident and community service programs and reduce reliance on federal support of these programs. These programs are vital to our mission of providing affordable housing. Resident service programs foster resident self-sufficiency, increase rent revenue, reduce vandalism costs, and lower tenant turnover.

5. Public Housing Lease Revision

In FY 2009, the UMHA proposes to make changes to its Lease. The grounds for and process of terminating the tenancy will be clearly defined, and made consistent with the applicable federal regulations. Provisions relating to security deposits, parking, repair charges, compliance with housekeeping standards and the authority's Community Service Policy, energy conservation, and accommodation of persons with disabilities will be included in the lease. As part of the lease amendment process, our repair and service fee schedule will be adjusted to account for increases in costs of providing maintenance services for repairs due to resident damage.

6. Funding Shortfalls

UMHA's federal operating subsidy has not been fully funded since FY 2002. Additionally, the national Public Housing Capital Fund allocation continues to decline.

In 1998, Congress mandated that HUD work with the public housing industry to create a new formula for allocating operating subsidies. The final rule on the new formula was issued in September 2005 and HUD guidance was issued in March 2006. The new formula includes a requirement that the UMHA use property-based budgeting, accounting and management (also called "asset management") or be subject to a significant reduction in subsidy.

In order to maintain its financial stability, UMHA will request that HUD provide relief from unfunded mandates such as Community Service, streamline federal rules and regulations, provide relief from nonessential administrative costs and authorize UMHA to combine all federal funding streams (public housing and Section 8) for maximum financial flexibility.

The UMHA has witnessed a decline in the number of its Section 8 vouchers. It will submit proposals to New York State Division of Housing and Community Renewal and other funders to request that unused vouchers be transferred to the UMHA. In

addition, it will seek additional funding from HUD to increase its Section 8 funding allocation.

7. Developing New Affordable Housing

During FY 2009, the UMHA will explore the development of new rental and homeownership housing as well as new initiatives to rehabilitate existing housing in the City of Utica. Using program income generated by the HOPE VI program, the UMHA will develop new rental and housing units in the HOPE VI Revitalization Area and other Utica neighborhoods. Specific projects under development include: lofts, live/work spaces for artists, continued operation of the UMHA's home improvement program, development of an annual homeownership production program, redevelopment of the Adrean Terrace, N.D. Peters Manor, and Matt Apartments through a mixed finance proposal to HUD, development of housing opportunities for Utica's growing New American and immigrant population, creation of housing for the homeless and special needs populations.

8. UMHA's Green Agenda

The UMHA aims to become a leader in reducing residential energy consumption and encouraging the development of environmentally friendly property management and construction practices. During FY 2009, the UMHA will be actively pursuing an ambitious, multi-phase energy-efficiency building retrofit program through funding provided by NYSERDA. The UMHA believes that the Program will significantly and effectively advance HUD's public housing Energy Performance Contracting and utility cost containment objectives. The Authority recognizes the critical role that resident cooperation and participation will play in maximizing and sustaining the energy savings associated with its Green Initiatives. UMHA has included resident community education and "green collar" employment as key components of the Authority's Green efforts. Finally, in FY 2009, in order to promote resident health and sustainable development, the UMHA is planning to upgrade and develop new playground and other recreational resources by using public housing as well as private and public funding sources.

9. Revision of Section 8 (Housing Choice) Voucher Administrative Plan

During 2009, the UMHA will be amending its Section 8 (Housing Choice) Administrative Plan to ensure that it reflects changes in federal regulations. Among the changes to be implemented are: 1) the household may not be absent from the unit for a period of more than 30 days without pre-approval from the UMHA; 2) inclusion of a provision in the Housing Assistance Payment Contract that the HAP is considered paid when it is mailed, not received by the landlord; 3) Prohibition of more than one move by the assisted household during any one year period.

SUMMARY OF PROGRAM HIGHLIGHTS

• HOPE VI PROGRAM

HUD approved a FY 2002 HOPE VI Revitalization Grant in the amount of \$11,501,039 to the Utica Municipal Housing Authority (UMHA) to demolish the Washington Courts public housing development and develop replacement housing for existing residents.

To date, the program has successfully completed the following: developed 128 homeownership and rental units in the Cornhill neighborhood of Utica; relocated 59 former Washington Courts residents to better housing opportunities; demolished the Washington Courts complex and transferred the property to the City of Utica for a use as an industrial site; leveraged \$36,110,773 in collateral housing and in-kind community service investments; developed a computer training center and playground at Martin Luther King School; entered into 22 construction contracts with Section 3 as well as minority and female business enterprises; and increased the neighborhood's tax base and property values.

The following are the accomplishments of our HOPE VI grant:

1. The City of Utica has provided a total of \$5,485,841 in housing development, infrastructure improvements, codes enforcement, planning, community policing, and economic development funding to the project.
2. The HOPE VI Project is in the process of completing the planned number of housing units by the end of the grant term. To date, 109 tax credit rental replacement housing units have been completed in conjunction with the UMHA and a not-for-profit developer – Housing Visions Consultants, Inc.
3. The UMHA has developed 19 units of homeownership housing. We will complete up to 21 additional units by June 30, 2009.
4. Fifty-nine families residing in the Washington Courts complex were successfully relocated to new and renovated UMHA and HOPE VI housing as well as provided other housing opportunities. HUD has used our relocation program as a model for other HOPE VI programs and recommended other housing authorities contact the UMHA for technical assistance. In fact, the independent evaluation of our HOPE VI grant by Hamilton College published in June 2006 states that the project: "... has met major goals. All Washington Courts families have been moved, most to other public housing projects in neighborhoods that are of higher median income and less racially segregated."
5. The UMHA secured \$1,140,000 in funding from the County of Oneida, the State of New York Empire State Development, and the New York State Division of Housing

and Community Renewal HOME program to finance a home improvement program targeted to the HOPE VI Revitalization Area. The Home Preservation Program involves the moderate rehabilitation of up to 40 owner occupied housing units in the Cornhill neighborhood of the City of Utica. This Program is integral to our comprehensive neighborhood redevelopment strategy and will ensure the success of the entire HOPE VI project through the rehabilitation of existing homes, and will protect the investment and marketability of other HOPE VI housing development.

6. The HOPE VI Community Supportive Services Program has enabled our residents to become self-sufficient, maintain stable housing, secure employment, and access support services. The UMHA Youthbuild Program enrolled 21 Cornhill residents and four public housing residents and helped 15 low-income neighborhood youth to obtain employment (of which 6 are construction-related jobs). The Youthbuild participants assisted in the construction and landscaping of the HOPE VI homeownership units and were provided on-the-job training opportunities in construction.

7. The HOPE VI program has entered into 22 separate contracts with minority and women business and Section 3 enterprises and 21 Section 3 eligible and minority/female residents have been hired in connection with HOPE VI construction activities. The HOPE VI project has held community meetings to recruit Section 3 as well as MBE/WBE eligible firms to bid on projects. In addition, the UMHA has held outreach events to identify neighborhood residents interested in HOPE VI construction employment.

8. The City of Utica has provided a total of \$ 5,485,841 in housing development, infrastructure improvements, codes enforcement, planning, community policing, and economic development funding to the project. The City of Utica has been an invaluable partner in HOPE VI revitalization efforts by providing technical assistance, furnishing parcels for development, making available partial tax abatements and Payment in Lieu of Tax arrangements, and offering planning, Geographical Information System, environmental review, and zoning assistance. As part of its commitment to increased codes enforcement in the Target Area, the City recently enacted a local ordinance requiring periodic inspections of rental property.

9. With the ongoing support provided from the City of Utica to UMHA, the Utica City School District has also been a recipient in our HOPE VI revitalization efforts. In conjunction with the School District and Oneida County Workforce Development, UMHA developed a Neighborhood Networks Center at the Martin Luther King, Jr. Elementary School in Cornhill. This initiative of UMHA, funded by a HUD \$300,000 Neighborhood Networks grant, has been providing services to the students of MLK and the Cornhill community through its educational programs of job skills development and remedial education. Also, as the first step in the Cornhill Commons Project, a new playground was installed on the grounds of the Martin Luther King, Jr. School. The playground was constructed in June 2006 with the assistance of over 70 volunteers and a partnership between UMHA, RMV and the Utica City School

District. A total of \$96,270 in non-HUD funds were contributed to this project. Through a Governor Member Item, the State of New York provided a grant of \$30,000 for the development of the playground.

Our HOPE VI Project consists of four phases:

Phase I - Kembleton consists of 27 non-ACC rental units which were primarily financed by Low Income Housing Tax Credit (LIHTC) equity through our HOPE VI rental developer, Housing Visions Consultants, Inc. All units are on Kemble Street within our HOPE VI targeted area. Construction began in August 2003 and was completed in January 2004. Initial occupancy of these units was in March 2004. Full occupancy was attained in November 2004. This development involved seven buildings (6 rehabilitated buildings and 1 new) and was financed through LIHTC equity, Key Bank Development Corporation, City of Utica HOME funds, and NYS Housing Trust funds.

Phase II - Steuben Village consists of 49 units of residential rental housing which was developed on scattered in-fill sites in the Cornhill neighborhood. Steuben Village involved both new construction of 15 multifamily homes on vacant lots as well as substantial rehabilitation of 4 existing vacant buildings. All 49 units are LIHTC and 25 are public housing (ACC). All 19 buildings are multi-family buildings. Construction began in August 2004. The project was completed in December 2004. Initial occupancy was July 2005. Leasing was completed in November 2006. Housing Visions Consultants, Inc. was the developer. Steuben Village is managed by the UMHA.

Phase III - Rutger Manor involves both the new construction of multifamily homes on vacant lots as well as rehabilitation of an existing building. A total of 27 lots were developed into 12 buildings and 33 units. Eleven buildings were newly constructed and one existing structure was substantially rehabbed. Of the 33 units developed, 21 are public housing (ACC) units and 8 HOME units. All units have Low Income Housing Tax Credits. Construction began in December 2005 and was completed in December 2006. Initial occupancy was in February 2007. Leasing was completed by December 2007. The project developer was Housing Visions Consultants, Inc. The property manager is the UMHA.

Phase IV - Oneida Homes will consist of 40 single-family homeownership units constructed within the HOPE VI development area. All the units will be intended for fee-simple sale. To date, 19 homes have been developed. Financing for Phase IV is provided by the Federal Home Loan Bank of New York, the City of Utica HOME Program, New York State Division of Housing and Community Renewal HOME Program, private bank mortgages and construction loans, homeowner equity, and HOPE VI funds. Oneida Homes consists of four subphases: A – 11 units (completed); B – 8 units (completed); C – 12 units (under construction); and D- 9 units (under construction).

By way of subgrant agreement executed on October 20, 2004, UMHA awarded funding to the Rebuild Mohawk Valley, Inc. (RMV) to implement the HOPE VI grant and serve as the developer of the homeownership units. Rebuild Mohawk Valley, Inc. is a tax-exempt nonprofit corporation created to promote neighborhood revitalization and develop affordable housing. RMV also has been certified as a Community Housing Development Organization by the City of Utica and the State of New York. Through a competitive procurement process, RMV was selected by the UMHA as the developer of the Oneida Homes 4C and 4D Project.

RMV commenced construction on the Oneida Homes 4C & D Project in May 2008. Construction is expected to be completed in December 2008.

All HOPE VI funds have been expended by the September 30, 2008 grant deadline.

Post-grant activities will be funded by HOPE VI program income as well as HOME and CHDO developer fees. RMV will be submitting additional proposals to HUD and other funders for additional HOPE VI rental and homeownership units.

In order to continue revitalization efforts in the HOPE VI Target Area, RMV has submitted an application to the HUD Section 811 Program to construct six three bedroom rental single family homes which will be leased to disabled heads of household. RMV and the UMHA are exploring the feasibility of developing additional housing and community development projects to further complement on-going renewal efforts.

As part of the comprehensive HOPE VI neighborhood revitalization strategy, the UMHA and RMV Home Preservation Program provides financing for property improvements to low-income homeowners in the HOPE VI Target Area of the City of Utica. The program, which is jointly administered by the Municipal Housing Authority of the City of Utica, New York and Rebuild Mohawk Valley, Inc., has made significant progress in meeting its production goals.

The two primary funding sources for the program consist of a \$300,000 HUD HOME grant from the New York State Housing Trust Fund Corporation and \$840,000 contributed by Oneida County through a grant from New York State Empire State Development.

- ***CONTINUED PROGRESS IN TRANSITION TO ASSET-BASED MANAGEMENT:***

The Utica Municipal Housing Authority is completing the transition to Site Based Asset Management. Among the accomplishments of the UMHA has made in adopting HUD's site-based management model are:

1. The Authority's existing developments have been re-designated to become a cluster of four (4) property groups for the purposes of project-based accounting and management.
2. Materials inventory have been moved from UMHA's central warehouse to individual warehouses at each site.
3. Property reports, including budget-to-actual operating statements, are produced identifying key performance indicators.
4. Periodic review of site-based financial performance are provided at both the staff and Board levels.
5. Property performance indicators such as unit turnovers and completing work orders have improved.
6. Staff has been reorganized to reflect the asset-based model.
7. Occupancy rates continue to remain high.
8. The UMHA has been designated as a high performer housing authority by HUD.

- **SUCCESSFUL SUPPORT SERVICES TO RESIDENTS**

UMHA is nationally recognized for its exemplary Community Services Department and support services to its residents. It is successfully administering three Neighborhood Networks Center grants for our HOPE VI, Gilmore Village, and Adrean Terrace Apartments residents as well as family self-sufficiency, homeownership, job development and case management programs for elderly/disabled residents. A new Neighborhood Network Center has been constructed at the Gilmore Village development. UMHA has created a Community Network Coalition consisting of representatives from approximately 25 supportive service providers in Utica and Oneida County. This committee meets twice monthly to discuss programs, review specific cases, and provide a collegial environment in which the supportive service providers and case managers from the different organizations can meet. A recent HUD evaluation found that the UMHA Youthbuild successfully met its program goals including participant outcomes and housing construction. The audit disclosed that "all files reviewed were well organized and contained the appropriate information and required documentation establishing that all program participants met recognized eligibility requirements."

Through the Community Services Department, a comprehensive range of services is provided directly by UMHA staff or participating agencies: tutoring and mentoring, English as a Second Language, GED, Adult Basic Education, drug prevention, Head Start, child care, youth development, Boy and Cub Scouts, parenting education, senior services, and congregate meals. To ensure that these services meet the needs of the residents, the Community Resources Department conducts outreach, recruits residents for programs, and implements follow-up assistance and tracking services.

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 2009 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)
- List of Resident Advisory Board Members (**Attachment C**)
- List of Resident Board Member (**Attachment D**)
- Community Service Description of Implementation (**Attachment E**)

- Information on Pet Policy (**Attachment F**)
- Section 8 Homeownership Capacity Statement, if applicable
- Description of Homeownership Programs, if applicable (**Attachment G**)

Optional Attachments:

- PHA Management Organizational Chart
- FY 2009 Capital Fund Program 5 Year Action Plan (**Attachment H**)
- 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 I**)
- Other (List below, providing each attachment name)

- Attachment J: Capital Fund Program FY 2007 P & E Report**
- Attachment K: Capital Fund Program FY 2006 P & E Report**
- Attachment L: Capital Fund Program FY 2005 P & E Report**
- Attachment M: Capital Fund Program FY 2004 P & E Report**
- Attachment N: 2009 RHF Plan**
- Attachment O: Statement of Progress in Meeting Goals and Objectives**

Supporting Documents Available for Review

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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions’ initiatives to affirmatively further fair housing that require the PHA’s involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and	Annual Plan: Eligibility, Selection, and Admissions

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	Assignment Plan [TSAP]	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 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 checked="" 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 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
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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
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
X	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
X	Policies governing any Section 8 Homeownership program <input checked="" 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
NA	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
X	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
X	Other supporting documents (optional) (list individually; use as many lines as necessary) Deconcentration/Income Mixing Documententation Master Development Agreement with Housing Visions Consultants, Inc. (HOPE VI)	(specify as needed) ACOP/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	3,334	5	5	4	4	4	3
Income >30% but <=50% of AMI	1,755	4	4	3	4	4	4
Income >50% but <80% of AMI	466	3	4	2	3	3	3
Elderly	1,200	4	2	2	3	3	3
Families with Disabilities	1,985	4	4	3	5	3	4
Race/Ethnicity White – Non-Hispanic	9,110	3	3	4	4	3	4
Race/Ethnicity Black – Non-Hispanic	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 Islander	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
Indicate year: 2008-2009

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 (Authority-wide) <input type="checkbox"/> Combined Section 8 and Public Housing <input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional) If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	17		NA
Extremely low income <=30% AMI	12	71%	
Very low income (>30% but <=50% AMI)	5	29%	
Low income (>50% but <80% AMI)	0	0	
Families with children	1	5.88%	
Elderly families			
Families with Disabilities	0	47.06%	
Race/ethnicity (White)	8	47.06%	
Race/ethnicity (Black)	7	41.18%	
Race/ethnicity (Asian)	2	11.76%	
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	16	94.12%	
2 BR	1	5.88%	
3 BR	0	0	
4 BR	0	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: **Perretta Twin Towers**

	# of families	% of total families	Annual Turnover
Waiting list total	2		8 units
Extremely low income <=30% AMI	2	100%	
Very low income (>30% but <=50% AMI)	0	0	
Low income (>50% but <80% AMI)	0		
Families with children			
Elderly families	0		
Families with Disabilities	0		
Race/ethnicity-White	2	100%	
Race/ethnicity-Black	0		
Race/ethnicity			
Race/ethnicity			

Characteristics by Bedroom Size (Public Housing Only)

1BR	10	100%	
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

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	19		30
Extremely low income <=30% AMI	15	79%	
Very low income (>30% but <=50% AMI)	4	21%	
Low income (>50% but <80% AMI)	0		
Families with children	19	100%	
Elderly families			
Families with Disabilities	0	0	
Race/ethnicity (White)	9	47.37%	
Race/ethnicity (Black)	10	52.63%	
Race/ethnicity			
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	6	31.58%	
2 BR	9	47.37%	
3 BR	4	21.05%	
4 BR	0	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: **N.D. Peters Manor**

	# of families	% of total families	Annual Turnover
Waiting list total	9		10 units
Extremely low income <=30% AMI	7	78%	
Very low income (>30% but <=50% AMI)	2	22%	
Low income (>50% but <80% AMI)	0	0	
Families with children	7	77.77%	
Elderly families			
Families with Disabilities	2	22%	
Race/ethnicity (White)	6	66.67%	
Race/ethnicity (Black)	2	22.22%	
Race/ethnicity	1	11.11%	
Race/ethnicity			

Characteristics by
Bedroom Size (Public
Housing Only)

1BR	6	66.67%	
2 BR	2	22.22%	
3 BR	1	11.11%	
4 BR	0	0	
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

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	4		3
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)	4	100%	
Race/ethnicity (Black)			
Race/ethnicity			
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	4	100%	
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)

- 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: **Humphrey Gardens**

	# of families	% of total families	Annual Turnover
Waiting list total	37		11
Extremely low income <=30% AMI	25	68%	
Very low income (>30% but <=50% AMI)	7	19%	
Low income (>50% but <80% AMI)	4	11%	
Families with children	16	43.24%	
Elderly families			
Families with Disabilities	3	8.11%	
Race/ethnicity (White)	24	64.86%	
Race/ethnicity (Black)	11	29.73%	
Race/ethnicity (Asian)	1	2.70	
Race/ethnicity (Indian)	0	0	
Characteristics by Bedroom Size (Public Housing Only)			
1BR	24	64.86%	
2 BR	7	18.92%	
3 BR	6	16.22%	
4 BR	0	0	
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

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 Matts Apts.			
	# of families	% of total families	Annual Turnover
Waiting list total	5		9 units
Extremely low income <=30% AMI	3	60%	
Very low income (>30% but <=50% AMI)	2	40%	
Low income (>50% but <80% AMI)	0	0	
Families with children	3	60%	
Elderly families			
Families with Disabilities	2	40%	
Race/ethnicity (White)	3	60%	
Race/ethnicity (Black)	2	40%	
Race/ethnicity			
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	4	80%	
2 BR	1	20%	
3 BR	0	0	
4 BR	0	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)			
<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		1 unit
Extremely low income <=30% AMI			
Very low income (>30% but <=50% AMI)	0	0	
Low income (>50% but <80% AMI)			
Families with children			
Elderly families			
Families with Disabilities			
Race/ethnicity (Black)	0	0	
Race/ethnicity (Asian)			
Race/ethnicity			
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR			
3 BR	0	0	
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: Adrean Terrace			
	# of families	% of total families	Annual Turnover
Waiting list total	9		35 units
Extremely low income <=30% AMI	6	67%	
Very low income (>30% but <=50% AMI)	3	33%	
Low income (>50% but <80% AMI)	0	0	
Families with children	0	0	
Elderly families			
Families with Disabilities	0	0	
Race/ethnicity (White)	1	11.11%	
Race/ethnicity (Black)	8	88.89%	
Race/ethnicity (Asian)	0	0	
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	9	100%	
2 BR	0	0	
3 BR	0	0	
4 BR	0	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: **Steuben Village HOPE VI Mixed Finance Development (Only public housing units reported)**

	# of families	% of total families	Annual Turnover
Waiting list total	4		4
Extremely low income <=30% AMI			
Very low income (>30% but <=50% AMI)			
Low income (>50% but <80% AMI)	4	100%	
Families with children			
Elderly families			
Families with Disabilities			
Race/ethnicity (White)	1	25%	
Race/ethnicity (Black)	3	75%	
Race/ethnicity (Hispanic)			
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR	3	75%	
2 BR			
3 BR	1	25%	
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)

- 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: **Rutger Manor HOPE VI Mixed Finance Development (Only public housing units reported)**

	# of families	% of total families	Annual Turnover
Waiting list total	18		1
Extremely low income <=30% AMI			
Very low income (>30% but <=50% AMI)	7	39%	
Low income (>50% but <80% AMI)	11	61%	
Families with children	18		
Elderly families			
Families with Disabilities			
Race/ethnicity (White)	8		
Race/ethnicity (Black)	10	50%	
Race/ethnicity (Hispanic)		50%	
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR			
2 BR	9	50.00%	
3 BR	8	50.00%	
4 BR	1		
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

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	195		10 vouchers
Extremely low income <=30% AMI	33	17%	
Very low income (>30% but <=50% AMI)	152	78%	
Low income (>50% but <80% AMI)	10	5%	
Families with children	122	63%	
Elderly families	40	20%	
Families with Disabilities	33	17%	
Race/ethnicity – White	109	56%	
Race/ethnicity – Black	83	43%	
Race/ethnicity – Asian	1	.005%	
Race/ethnicity- Indian or Alaskan	2	.01%	
Hispanic	39	20%	
Non-Hispanic	156	80%	
Characteristics by Bedroom Size (Public Housing Only)	Not Applicable	Not Applicable	Not Applicable
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			

Housing Needs of Families on the Waiting List

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

If yes:

How long has it been closed (# of months)? 6

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)

1. Develop Section 8 Homeownership Voucher Programs.
2. Create a Section 8 Project-Based Subsidies Program
3. Develop mixed finance public housing units.

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)

1. Apply for funding from government as well as private sources to develop new rental and homeownership housing.
2. Bid on contracts to serve as property managers for affordable housing developments.

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)

Use targeting requirements to reach very low-income, homeless, and disabled households in connection with HOPE VI development.

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

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

Select all that apply

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

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

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

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

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

1. Apply for funding to develop special needs housing.

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

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

Select if applicable

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

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

- Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- Market the section 8 program to owners outside of areas of poverty /minority concentrations
- Other: (list below) The UMHA conducts marketing targeted to Utica's large refugee population and requests resident referrals from the local refugee assistance organization.

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 2007 grants)		
a) Public Housing Operating Fund	4,261,204	
b) Public Housing Capital Fund	2,077,736	
c) HOPE VI Revitalization	0	
d) HOPE VI Demolition	0	
e) Annual Contributions for Section 8 Tenant-Based Assistance	1,138,162	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	0	
g) Resident Opportunity and Self-Sufficiency Grants	0	
h) Community Development Block Grant	0	
i) HOME	0	
Other Federal Grants (list below)		
Replacement Housing Factor	185,516	PH Capital Improvements
2. Prior Year Federal Grants (unobligated funds only) (list below)		
Resident Opportunity & Self-Sufficiency Grants	0	PH Supportive Services
HOPE VI-Revitalization	1,711,778	PH Capital Improvements
Public Housing Capital Fund		
3. Public Housing Dwelling Rental Income		
	3,430,498	PH Operations
4. Other income (list below)		
Interest on General Fund Investments	238,693	PH Operations

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
Other Income/Fraud Recovery	(868,000)	PH Operations
4. Non-federal sources (list below)		
Total resources	12,175,587	

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)

Households impacted by childhood lead poisoning (e.g., children with lead levels equal to or greater than 20 micrograms per deciliter, children admitted for chelation therapy) who are in need of immediate housing (Proposed)

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
- 4 Residents who live and/or work in the jurisdiction (**City of Utica**)
- 4 Residents who live and/or work in the jurisdiction (**County of Oneida**)
- 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)

1. Households impacted by childhood lead poisoning (e.g., children with lead levels equal to or greater than 20 micrograms per deciliter, children admitted for chelation therapy) who are in need of immediate housing (Proposed)

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, New York has deleted the former questions and inserted the current questions from the HUD website)

a. Yes No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the

need for measures to promote deconcentration of poverty or income mixing?

b. Yes No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

Adoption of site-based waiting lists
If selected, list targeted developments below:

Employing waiting list “skipping” to achieve deconcentration of poverty or income mixing goals at targeted developments
If selected, list targeted developments below:

Employing new admission preferences at targeted developments
If selected, list targeted developments below:

Other (list policies and developments targeted below)

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

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

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

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

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

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

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

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	85 Occupied	See Below	N/A
NY 006-3	7 Occupied	See Below	N/A

Explanation:

The Deconcentration analysis was conducted on February 8, 2006. The current Median Family Income for Oneida County, New York is \$51,400. Thirty (30) percent of the Median Family Income is \$15,420.

The Deconcentration analysis indicated that two developments have income ranges outside of the Established Income Range (EIR) of 85% to 115%:

NY 006-1, Adrean Terrace, has an income range that is above the EIR. However, HUD regulations provide that any development that has an average income of less than 30% of the Area Median Income (AMI) is exempt from Deconcentration and Income Mixing requirements. When the Housing Authority applies the Analysis Based on Bedroom Adjustment Factors, this development is below 30% AMI.

NY 006-3, Duplex Homes, has an income range that is above the EIR. However, HUD regulations provide that any development that has an average income of less than 30% of the Area Median Income (AMI) is exempt from Deconcentration and Income Mixing requirements. When the Housing Authority applies the Analysis Based on Bedroom Adjustment Factors, this development is below 30% AMI.

Further, 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 EIR. For reasons of this development's size (*small – Has less than 10 units*), and configuration (*scattered site*), this development is exempt.

All other covered developments are within the acceptable EIR and are below 30% of the Median Income for Oneida County, NY.

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 (**City of Utica and County of Oneida**)
- 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) 1. Families who fall within the VAWA Act of 1994 2. Households who are current residents in public housing program who have been in the Self-Sufficiency, ROSS Family, Homeownership Supportive Services, and other resident service program for at least one year and are in good standing in that program. (Proposed)**

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
- 4 Residents who live and/or work in your jurisdiction (**City of Utica and County of Oneida**)
- 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)

1. Families who fall within the VAWA Act of 1994. 2. Households who are current residents in public housing program who have been in the Self-Sufficiency, ROSS Family, Homeownership Supportive Services, and other resident service program for at least one year and are in good standing in that program. (Proposed)

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 –

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)

The UMHA is proposing to use no more than 15% of its vouchers in connection with project-based programs. A Request for Proposal will be issued to select project-based programs. Assistance will be targeted to those projects serving the HOPE VI Target Area. The use of Section 8 project-based vouchers is vital to maintaining the financial health of affordable housing developments and ensuring that residents with the greatest housing needs are provided with decent and sanitary housing.

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 Chief Executive Officer 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 one Housing Project Manager, a Finance Administrator, a Human Resource/Office Manger, Modernization Coordinator, Grant Writer, and System Administrator/Section 8 Coordinator. Additional supervisory staff includes a Community Resource Coordinator, two Assistant Modernization Coordinators, Assistant Finance Administrator, and an Assistant Director of Maintenance. The Authority's Executive Director is also President of Rebuild Mohawk Valley, Inc., a not for profit corporation which operates limited portions of the HOPE VI Revitalization Grant Program.

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.)

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	860 units*	102 units
Section 8 Vouchers	148	10
Section 8 Certificates		
Section 8 Mod Rehab		
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Public Housing Drug Elimination Program (PHDEP)		
NYSDHCR Section 8 Project-Based Units – Chancellor Apts. -	93 units	8
Section 8 Project-Based units – 819 Hamilton Street	9	2
Other Federal Programs (list individually)		
HOPE VI Mixed Finance (ACC, LIHTC, HOME)	82	10

Section 8 11 B Units Contract Administrator for 7 developments		
--	--	--

***Includes 45 ACC units which are counted in the 82 HOPE VI mixed Finance units.**

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
- Safety & Health Policy

(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 B

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 H.

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

- Yes No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?
If yes, list development name/s below: **The UMHA reserves the right to apply for HOPE VI Revitalization grants in FY 2009 in connection with the following developments:**

**Adrean Terrace
N.D. Peters Manor
F.X. Matt Apartments.**

- 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), Adrean Terrace, Matt Apartments, N.D. Peters Manor, other projects as identified

- Yes No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?
If yes, list developments or activities below:

The UMHA will continue to develop homeownership as well as rental units through the HOPE VI Program and program

income generated through the sale of Replacement Housing Factor and HOPE VI Homes. It will apply for new sources of funding to develop new rental and homeownership units.

In 2008, the UMHA was approved for new Replacement Housing Factor funding in the amount of \$265,148 as part of a new five year increment funding cycle. The housing authority intends to accumulate funding for the first three years and start construction in the fourth year (2012). In order to generate new revenue for the housing authority and meet local housing needs, the housing authority intends to develop new mixed finance public housing rental units. The housing authority will seek to leverage non-public housing funds to supplement the RHF funds. Please find below an initial development proposal for the third increment funding.

REPLACEMENT HOUSING FACTOR PLAN

FY 2008 - 2013 REPLACEMENT HOUSING FACTOR FORMULA AMOUNT –THIRD INCREMENT FUNDING

1. SUMMARY

The Utica Municipal Housing Authority is requesting approval of this Replacement Housing Factor (RHF) Plan for third five year increment funding.

All Replacement Housing Factor Funds for the first and second five year increments have been expended.

In order to meet the demand for new public housing units in our community, the Utica Municipal Housing Authority is proposing to develop new or rehabilitated ACC rental units in the City of Utica. Our plan is consistent with our Public Housing Plan and will support the City of Utica's housing strategy and Consolidated Plan.

a. The total units to be developed: Number of units to be developed will be contingent upon final financing received from HUD as well as leveraged funding from other sources. The UMHA will apply to other funders such as the New York State Division of Housing and Community Renewal, Low Income Housing Tax Credit Program, and City of Utica HOME Program to provide match funding for the project.

b. The development method: Depending upon funding availability, the UMHA will explore the feasibility of various development methods to include new construction, modular, and rehabilitation. The UMHA is in the process of conducting a feasibility study to determine possible locations for the proposed project.

c. Structure type: The UMHA is planning to develop rental units using RHF funds and is exploring the possibility of developing a mixed finance project to be targeted to various income groups.

Among the benefits of the proposed project are: 1) creation of new public housing units; 2) development of construction employment and job training opportunities for community and public housing residents; 3) improvement in neighborhood living conditions; 4) development of new affordable housing.

2. SCHEDULE

The following is the schedule of major development milestones for the Third Increment funding:

Activity	Date
<i>Acquisition/Site Control</i> <input type="checkbox"/> N/A	<i>1/1/09</i>
<i>Leveraged Funding Application Submission</i> <input type="checkbox"/> N/A	<i>11/30/09</i>
<i>Award of Funding</i> <input type="checkbox"/> N/A	<i>8/30/10</i>
<i>Environmental Review Approval from HUD and ROF Statement</i> <input type="checkbox"/> N/A	<i>1/1/11</i>
<i>RHF Final Development Plan Submitted</i> <input type="checkbox"/> N/A	<i>06/30/11</i>
<i>Residential Construction Start</i> <input type="checkbox"/> N/A	<i>1/01/12</i>
<i>Residential Construction Completion</i> <input type="checkbox"/> N/A	<i>12/31/13</i>
<i>Lease-Up</i> <input type="checkbox"/> N/A	<i>6/30/14</i>

3. AMOUNT AND SOURCES OF FUNDING

In 2008, HUD approved new Replacement Housing Factor Third Increment funding in the amount of \$265,148 for the UMHA. Funding allocations for Years 2 – 5 have not yet been allocated and are dependent upon federal appropriations as well as funding formulas.

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.)

The UMHA is planning to submit a disposition application to the Special Applications Center of HUD to allow the housing authority to lease a portion of vacant land situated at the Humphrey Gardens development to a private developer for the development of a commercial or office facility. No units will be demolished or disposed of in this activity. In addition, no residents will be relocated in connection with this disposition. The proposed project will generate new revenue streams to support ongoing housing authority operations as well as provide residents with possible Section 3 economic opportunities.

The UMHA is exploring the feasibility of submitting a demolition/disposition or mixed finance application to HUD to redevelop the public housing developments located at Adrean Terrace, N.D. Peters Manor, and Matt Apartments. The housing authority intends to demolish portions of the complexes, rehabilitate other sections, and create new housing. Funding would be provided by Low Income Housing Tax Credits, HOPE VI, HOME, and other funding.

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: Adrean Terrace, Matt Apartments, N.D. Peters 1b. Development (project) number: NY006-01
2. Activity type: Demolition <input checked="" type="checkbox"/> Disposition <input checked="" type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission: <u>(06/30/2009)</u>
5. Number of units affected: 349
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: 07/30/2011 b. Projected end date of activity: 12/31/2014

Demolition/Disposition Activity Description
1a. Development name: Humphrey Gardens 1b. Development (project) number: NY006-09
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved , submitted, or planned for submission: <u>(03/01/09)</u>
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development (units have been demolished – site disposition only)
7. Timeline for activity: a. Actual or projected start date of activity: 06/01/09 b. Projected end date of activity: 12/31/12

Demolition/Disposition Activity Description
1a. Development name: Washington Courts 1b. Development (project) number: NY006-07

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 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>(10/13/2005)</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 has been completed. b. Projected end date of activity: The land has been conveyed to the City of Utica.

Demolition/Disposition Activity Description
1a. Development name: Goldbas Homes
1b. Development (project) number: NY006-07
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/>
3. Application status (select one) Approved <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved , submitted, or planned for submission: <u>(10/13/2005)</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: b. Projected end date of activity: The land has been conveyed to the City of Utica.

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: (DD/MM/YY)
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected:
7. Coverage of action (select one)

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

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

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

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

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

2. Activity Description

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

Conversion of Public Housing Activity Description
1a. Development name:
1b. Development (project) number:
2. What is the status of the required assessment? <input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)
4. Status of Conversion Plan (select the statement that best describes the current status) <input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway

5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one)

- 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: Second Increment Replacement Housing Factor 1b. Development (project) number: NY06P006014
2. Federal Program authority: <input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input checked="" type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one) <input checked="" 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: <u>(02/07/2007)</u>
5. Number of units affected: 8 (including 2 HOME financed units) Additional units may be developed pending the availability of funding and program income.
6. Coverage of action: (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development

Note: On August 9, 2006, the UMHA submitted to the HUD Special Applications Center a Section 32 Homeownership Plan to sell six new construction public housing units to income eligible public housing and non-public housing residents. All the units were owner occupied, fee simple title, single-family homes. None of the units have been previously occupied. The HUD Second Increment Replacement Housing Factor Program provided construction and permanent financing for this project. Construction was completed in January 2007. Utilizing City of Utica HOME funds, two additional single-family units were built for purchase as part of this development. The HOME funding helped the UMHA meet RHF match requirements. A total of 8 units were developed through the Second Increment Replacement Housing Factor project. Pending funding availability, the UMHA plans to build one to four homeownership units using program income from the sale of the first eight homes. The precise number of units will be contingent upon funding availability. Construction on these units is planned to commence in 2009. If necessary, a separate Section 32 term sheet will be submitted in connection with the sale of these additional units.

Public Housing Homeownership Activity Description (Complete one for each development affected)	
1a. Development name: HOPE VI Oneida Homes	
1b. Development (project) number: Washington Courts Replacement Housing - NY006-07 (Federalization) – HOPE VI Grant #: NY06URD006I102	
2. Federal Program authority:	
<input checked="" type="checkbox"/>	HOPE I (Section 24/9 of U.S. Housing Act of 1937)
<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 checked="" 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: (08/29/2005)	
5. Number of units affected: up to 40 (additional units beyond 40 may be developed based upon new funding leveraged or available HOPE VI/program income funds)	
6. Coverage of action: (select one)	
<input type="checkbox"/>	Part of the development
<input checked="" type="checkbox"/>	Total development

NOTE: The Housing Authority’s HOPE VI project includes an annual homeownership production program called Oneida Homes. It is anticipated that a total of up to 40 homes will be developed through this initiative during the HOPE VI grant term. The homes will be sold to low-income homebuyers. To date, 19 homes have been developed. Financing for Phase IV is provided by the Federal Home Loan Bank of New York, the City of Utica HOME Program, New York State Division of Housing and Community Renewal, private bank mortgages and construction loans, homeowner equity, and HOPE VI funds. Oneida Homes consists of four subphases: A – 11 units (completed); B – 8 units (completed); C – 12 units (under construction); and D- 9 units (under construction). The precise number of units to be developed will be contingent upon final construction/development costs as well as remaining financing. Additional units may be developed depending upon availability of funding. HUD has approved the HOPE VI Revitalization Plan to adjust the homeownership production schedule.

Using future program income generated by the sales of the Oneida Homes 4C & D Projects, the UMHA intends to build additional homeownership units. The housing authority will apply to other funding sources to provide additional financing for the project.

Public Housing Homeownership Activity Description (Complete one for each development affected)	
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1a. Development name: Homeownership Supportive Services/Section 8 Voucher Homeownership Program 1b. Development (project) number: NA
2. Federal Program authority: <input type="checkbox"/> HOPE VI (Section 24/9 of U.S. Housing Act of 1937) <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input checked="" 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 checked="" type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (03/01/09)
6. Number of units affected: up to 20 (additional units beyond 20 may be developed based upon new funding leveraged) 6. Coverage of action: (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development

The Utica Municipal Housing Authority is considering submitting a Homeownership Plan in connection with the development of a Section 8 homeownership voucher program targeted to public housing residents. The program will use the Authority's Section 8 vouchers to reach low-income households interested in purchasing a home. The program will be coordinated with the UMHA's Homeownership Supportive Services grant. The UMHA will also be seeking to develop additional homeownership units utilizing HOPE VI program income as well as other funding sources.

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:

We are in the process of establishing criteria for participation, including credit worthiness standards, rental history and certain income criteria other than those established by HUD for the Section 8 Program as a whole. As part of this program, we plan to serve current households enrolled in the program, public housing residents enrolled in the Homeownership Supportive Services Program, and applicant households approved for the UMHA HOPE VI homeownership program.

NOTE: The UMHA was awarded a grant of \$250,000 from the United States Department of Housing and Urban Development to establish the Utica Homeownership Supportive Services (HSS) Program to help residents of our public housing projects to become homeowners. In partnership with local financial institutions, and other community and faith-based organizations, UMHA will offer provide coordinated outreach resident assessment, homeownership training, individual savings accounts, homeownership vouchers, supportive services, and on-going participant monitoring.

The project will target populations such as HOPE VI residents, immigrants, persons with limited English proficiency, minorities, and the disabled. Services will be tailored to meet the individual needs of residents. Resident recruitment will be on-going through the life of the grant.

Our current Section 8 program has limited voucher capacity. Therefore, the UMHA is exploring the possibility of securing additional vouchers from agencies with unused voucher authority or entering into Memorandum of Agreement with other Section 8 agencies to make their vouchers available to our residents. We are also proposing to immediately port or transfer these homeownership vouchers to other Section 8 agencies which will absorb the future cost of providing these vouchers. This will make it possible for our Section 8 program to continue to provide rental vouchers to households on our waiting list.

In addition to the Homeownership Supportive Service Program targeted to public housing residents, the UMHA is planning to develop a homeownership voucher program targeted to current voucher recipients as well as households approved for the HOPE VI homeownership program. This voucher program will be targeted to low-income families who are former residents of the Washington Courts housing complex, residents of the HOPE VI Target Area, and other residents in need of homeownership assistance. Families will need to complete homeownership training as well as family self-sufficiency program goals, but do not have to be current voucher holders to participate in the program.

12. PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.7 9 (l)]

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

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

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

If yes, what was the date that agreement was signed? 08/14/1997

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)
- 1.

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/specifi c criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or Section 8 participants or both)
Resident Opportunities & Self-Sufficiency Program (ROSS) for the Elderly & Disabled	142 Residents	Specific criteria	Elderly & Disabled developments	Public Housing
Relatives as Parents Program – (non HUD funded)	53 Residents	Specific criteria	UMHA Community Resource Dept., Family Nurturing Center	Public Housing Section 8
Utica HOPE VI Neighborhood Network Center	125 Residents	Other – Open Access	Utica City School District, Oneida County Workforce Development	Public Housing, Section 8, HOPE VI Target Area Residents
Neighborhood Networks Center, ND Peters Development – computer technology training, job training, life skills instruction	230 Residents	Other – Open Access	Oneida County Workforce Development, City of Utica School District	Public Housing Section 8
Gillmore Village Neighborhood Network Center Partnership – computer training, job readiness, life skills training*	161 Residents	Other – Open Access	Gillmore Village, Oneida County Workforce Development	Public Housing Section 8
Public Housing Family Self-	65	Fist come/First	MHA Community	Public Housing

Sufficiency Program – coordinated case management/escrow incentive program	Households	Serve – Families will be screened for interest/motivation	Resources Department	
Pathways to Independence Partnership – ROSS Family – Employment Readiness/Job Placement	75 Households	First come/First Serve – Families will be screened for interest/motivation	MHA Community Resources Department – Oneida County Workforce	Public Housing
Utica Homeownership Supportive Services Program – Homeownership training/vouchers/supportive services	52 Households	Specific criteria	MHA Community Resources Department, Rebuild Mohawk Valley, HomeOwnership Center	Conventional Family Public Housing
Teens & Dreams Program (non-HUD funded) – college preparation program	84 Residents	Specific criteria	MHA Community Resources Dept., Oneida County Youth Bureau	Adrean Terrace, N.D. Peters, Matt Apts.

*Construction of the Neighborhood Networks Center facility at Gillmore Village is expected to be completed by the end of 2008/early 2009. The Center will provide accessible space for resident training and job preparation programs.

(2) Family Self Sufficiency programs

The Buffalo HUD Field Office approved our FSS Action Plan on June 7, 2005. On April 7, 2006, the Municipal Housing Authority of the City of Utica, New York (UMHA) was awarded a grant of \$65,000 from the United States Department of Housing and Urban Development to establish a new Public Housing Family Self-Sufficiency Program to help link families to the supportive services they need to achieve self-sufficiency. The HUD contract for the FSS Program expired on April 5, 2008. All grant funds have been expended. In July 2008, the UMHA has submitted an application to HUD to renew funding for its Family Self-Sufficiency Program. Services have continued to be provided using Community Resource Department staff and have been incorporated into the ROSS Family program. FSS participants have been co-enrolled in the ROSS Family and Homeownership Supportive Services Program to ensure continuation of services. However, additional funding is needed to provide the same level of services to residents as well as ensure that services remain uninterrupted to clients.

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2005 Estimate)	Actual Number of Participants (As of: 10/15/08)
Public Housing	50	60 (intake participation number)

Section 8	NA	NA
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- 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?
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)

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

Gillmore Village
 Adrean Terrace
 F.X. Matts
 N.D. Peters
 Humphrey Gardens
 Steuben Village (HOPE VI)
 Rutger Manor (HOPE VI)
 819 Hamilton Street (DHCR)

Economic self-sufficiency programs are available to residents of all family developments.

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)

Housing Authority Security Patrols

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

Gillmore Village
 Adrean Terrace
 F.X. Matts
 N.D. Peters
 Humphrey Gardens
 Steuben Village (HOPE VI)
 Rutger Manor (HOPE VI)
 819 Hamilton Street (DHCR)

Economic self-sufficiency programs are available to residents of 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)

Police participating in the “suitability” component of the eligibility and admissions process.

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

All developments.

D. Additional information as required by PHDEP/PHDEP Plan

PHAs eligible for FY 2005 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 2005 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? 4
- 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 I
- 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, New York 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 D: 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: (provide name here) **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.
- 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)

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 is a major partner in the HOPE VI project. It provides match funding through its HOME and CDBG allocations for housing development activities, infrastructure improvements, community policing, codes enforcement, and other activities to ensure the success of HOPE VI redevelopment activities.

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^(c) 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.

PHA Plan Table Library

Component 7 Capital Fund Program Annual Statement Parts I, II, and II

Annual Statement Capital Fund Program (CFP) Part I: Summary

Capital Fund Grant Number FFY of Grant Approval: (MM/YYYY)

Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP Funds	
2	1406 Operations	
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	1465.1 Dwelling Equipment-Nonexpendable	
12	1470 Nondwelling Structures	
13	1475 Nondwelling Equipment	
14	1485 Demolition	
15	1490 Replacement Reserve	
16	1492 Moving to Work Demonstration	
17	1495.1 Relocation Costs	
18	1498 Mod Used for Development	
19	1502 Contingency	
20	Amount of Annual Grant (Sum of lines 2-19)	
21	Amount of line 20 Related to LBP Activities	
22	Amount of line 20 Related to Section 504 Compliance	
23	Amount of line 20 Related to Security	
24	Amount of line 20 Related to Energy Conservation Measures	

**Annual Statement
Capital Fund Program (CFP) Part II: Supporting Table**

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost

Annual Statement

Capital Fund Program (CFP) Part III: Implementation Schedule

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Funds Expended (Quarter Ending Date)

Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
Total estimated cost over next 5 years				

Attachment A

Municipal Housing Authority of the City of Utica

Annual Plan

Fiscal Year 01/01/2009 – 12/31/2009

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		Grant Type and Number			Federal FY of Grant
Municipal Housing Authority of the City of Utica, NY		Capital Fund Program Grant Number : NY06P00650109		2009	
		Replacement Housing Factor Grant No:			
<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			
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations	\$ 229,704	\$ -	\$ -	\$ -
3	1408 Management Improvement Soft Cost	\$ 12,500	\$ -	\$ -	\$ -
4	1410 Administration	\$ 173,388	\$ -	\$ -	\$ -
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$ 50,034	\$ -	\$ -	\$ -
8	1440 Site Acquisitions				
9	1450 Site Improvements	\$ 63,000	\$ -	\$ -	\$ -
10	1460 Dwelling Structures	\$ 1,129,216	\$ -	\$ -	\$ -
11	1465.1 Dwelling Equipment-Nonexpendable	\$ 22,640	\$ -	\$ -	\$ -
12	1470 Non-dwelling Structures	\$ 41,900	\$ -	\$ -	\$ -
13	1475 Non-dwelling Equipment	\$ 9,500	\$ -	\$ -	\$ -
14	1485 Demolition				
15	1490 Replacement Reserves				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs	\$ 2,000	\$ -	\$ -	\$ -
18	1499 Development Activities				
19	1502 Contingency				
	Amount of Annual Grant: (Sum of Lines...)	\$ 1,733,882	\$ -	\$ -	\$ -
	Amount of line 21 Related to LBP Activities	\$ 12,000			
	Amount of line 21 Related to Section 504 Compliance				
	Amount of line 21 Related to Security - Soft Cost				
	Amount of line 21 Related to Security - Hard Cost				
	Amount of line 21 Related to Energy Conservation Measures	\$ 226,955			
	Collateralization Expenses or Debt Services				

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

PHA Name		Grant Type and Number						Federal FY of Grant
Municipal Housing Authority of the City of Utica, NY		Capital Fund Program Grant Number : NY06P00650109						2009
Replacement Housing Factor Grant No:								
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	
	Operations	1406						
NY006-1P	AT/ND/FX		1 AMP	\$ 100,000				
NY006-3P	GV/DUPL		1 AMP	\$ 20,000				
NY006-4P	PTT/M-R		1 AMP	\$ 20,000				
NY006-9P	HG		1 AMP	\$ 89,704				
	Subtotal Acct 1406			\$ 229,704	\$ -	\$ -	\$ -	
	Management Improvements	1408						
NY006-1P	AT/ND/FX		1 AMP	\$ 4,300				
			1 AMP	\$ 1,075				
NY006-3P	GV/DUPL		1 AMP	\$ 2,500				
			1 AMP	\$ 625				
NY006-4P	PTT/M-R		1 AMP	\$ 1,900				
			1 AMP	\$ 475				
NY006-9P	HG		1 AMP	\$ 1,300				
			1 AMP	\$ 325				
	Subtotal Acct 1408			\$ 12,500	\$ -	\$ -	\$ -	
	HA-Wide	1410						
	Administration		5	\$ 173,388				
	Subtotal Acct 1410			\$ 173,388	\$ -	\$ -	\$ -	

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

PHA Name		Grant Type and Number						Federal FY of Grant
Municipal Housing Authority of the City of Utica, NY		Capital Fund Program Grant Number : NY06P00650109						2009
Replacement Housing Factor Grant No:								
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	
	Fees and Costs	1430						
NY006-1P	AT/ND/FX A&E Services and Testing	1430	1 AMP	\$ 21,515				
NY006-3P	GV/DUPL A&E Services and Testing		1 AMP	\$ 12,509				
NY006-4P	PTT/M-R A&E Services and Testing		1 AMP	\$ 9,506				
NY006-9P	HG A&E Services and Testing		1 AMP	\$ 6,504				
	Subtotal Acct 1430			\$ 50,034	\$ -	\$ -	\$ -	
	Site Improvements	1450						
NY006-1P	Adrean Terrace Sidewalks, Parking Lot Repairs, Playground Equip., Sewer Line Repairs and Landscaping	1450	1 Dev.	\$ 25,000				
NY006-1P	N.D. Peters Manor Sidewalk Replacement & Landscaping, Playground Upgrades	1450	1 Dev.	\$ 10,000				
NY006-4P	Perretta Twin Towers Sidewalk Replacement & Landscaping	1450	1Dev	\$ 4,000				
NY006-4P	Marino-Ruggiero Sidewalk Replacement, Landscaping and Exterior Lighting	1450	1 Dev.	\$ 4,000				
NY006-3P	Gillmore V. & Duplexes Exterior Lighting, Sidewalk Replacement, Playground Upgrades	1450	1 Dev.	\$ 5,000				
NY006-1P	FX Matts Apts Sidewalk Replacement, Parking Lot & Playground Upgrades	1450	1 Dev.	\$ 10,000				
NY006-9P	Humphrey Gardens Exterior Lighting, Sidewalk Replacement & Playground Upgrades	1450	1 Dev.	\$ 5,000				
	Subtotal Acct 1450			\$ 63,000	\$ -	\$ -	\$ -	
	Dwelling Structures	1460						
NY006-3P	Gillmore V. & Duplexes Apartment Renovations-Force Account & Contracted Services	1460	6 Apts	\$ 39,037				

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

PHA Name Municipal Housing Authority of the City of Utica, NY		Grant Type and Number Capital Fund Program Grant Number : NY06P00650109 Replacement Housing Factor Grant No:						Federal FY of Grant 2009	
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		
NY006-3P	Gillmore V. & Duplexes Cycle Painting	1460	34 Apts	\$ 25,769					
NY006-3P	Gillmore V. & Duplexes Tub Valves & Surrounds-Force Account	1460	12 Apts	\$ 12,259					
NY006-3P	Gillmore V. & Duplexes Plumbing - Supply Lines and Valves	1460	1 Dev	\$ 7,500					
NY006-3P	Gillmore V. & Duplexes Flooring	1460	8 Apts	\$ 3,000					
NY006-3P	Gillmore V. & Duplexes Oil Remediation	1460	1 Dev	\$ 50,000					
NY006-3P	Gillmore V. & Duplexes Abatement Cost - Asbestos & Lead	1460	8 Apts	\$ 10,000					
NY006-9P	Humphrey Gardens Apartment Renovations-Force Account & Contracted Services	1460	4 Apts	\$ 39,037					
NY006-9P	Humphrey Gardens Cycle Painting	1460	19 Apts	\$ 14,400					
NY006-9P	Humphrey Gardens Flooring	1460	4 Apts	\$ 3,000					
NY006-9P	Humphrey Gardens Abatement Cost - Asbestos & Lead	1460	5 Apts	\$ 10,000					
NY006-9P	Humphrey Gardens Plumbing - Supply Lines and Valves	1460	1 Dev	\$ 5,000					
NY006-9P	Humphrey Gardens Tub Valves & Surrounds-Force Account & Contracted Services	1460	16 Apts	\$ 16,346					
NY006-9P	Humphrey Gardens								

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

PHA Name Municipal Housing Authority of the City of Utica, NY		Grant Type and Number Capital Fund Program Grant Number : NY06P00650109 Replacement Housing Factor Grant No:						Federal FY of Grant 2009	
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		
NY006-1P	FX Matts Apts Plumbing - Supply Lines and Valves	1460	1 Dev	\$ 5,000					
NY006-1P	FX Matts Apts Apartment Renovations-Force Account & Contracted Services	1460	3 Apts	\$ 78,074					
NY006-1P	FX Matts Apts Tub Valves & Surrounds-Force Account & Contracted Services	1460	8 Apts	\$ 8,173					
NY006-1P	FX Matts Apts Cycle Painting	1460	11 Apts	\$ 8,337					
NY006-1P	FX Matts Apts Flooring	1460	3 Apts	\$ 6,000					
NY006-1P	FX Matts Apts Abatement Cost - Asbestos & Lead	1460	3 Apts	\$ 20,000					
NY006-1P	N.D. Peters Manor Concrete Porch Replacement	1460	4 Apt.	\$ 40,000					
NY006-2	N.D. Peters Manor Apartment Renovations-Force Account & Contracted Services	1460	1 Dev.	\$ 19,518					
NY006-1P	N.D. Peters Manor Plumbing - Supply Lines and Valves	1460	1 Dev	\$ 5,000					
NY006-1P	N.D. Peters Manor Tub Valves & Surrounds-Force Account & Contracted Services	1460	2 Apts	\$ 2,043					
NY006-2	N.D. Peters Manor Flooring	1460	2 Apts	\$ 1,500					
NY006-2	N.D. Peters Manor Cycle Painting	1460	16 Apts	\$ 12,127					
NY006-1P	Adrean Terrace Apartment Renovations-Force Account & Contracted Services	1460	4 Apts	\$ 195,184					
NY006-1P	Adrean Terrace Flooring	1460	4 Apts	\$ 15,000					

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

PHA Name Municipal Housing Authority of the City of Utica, NY		Grant Type and Number Capital Fund Program Grant Number : NY06P00650109 Replacement Housing Factor Grant No:						Federal FY of Grant 2009	
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		
NY006-1P	Adrean Terrace	Cycle Painting	1460	35 Apts	\$ 26,527				
NY006-1P	Adrean Terrace	Abatement Cost - Asbestos & Lead	1460	4 Apts	\$ 50,000				
NY006-1P	Adrean Terrace	Tubs & Surrounds- Contracted Services	1460	10	\$ 17,500				
NY006-1P	Adrean Terrace	Roof Replacement	1460	1 Dev.	\$ 312,543				
NY006-1P	Adrean Terrace	Tub Valves	1460	40 Apts	\$ 12,346				
NY006-1P	Adrean Terrace	Plumbing - Supply Lines and Valves	1460	1 Dev	\$ 7,500				
NY006-4P	Perretta Twin Towers	Apartment Renovations-Force Account & Contracted Services	1460	2 Apts	\$ 10,173				
NY006-4P	Perretta Twin Towers								
NY006-4P	Perretta Twin Towers	Cycle Painting	1460	19 Apts	\$ 14,400				
NY006-4P	Perretta Twin Towers	Flooring	1460	2 Apts	\$ 3,000				
NY006-4P	Perretta Twin Towers	Abatement Cost - Asbestos & Lead	1460	2 Apts	\$ 10,000				
NY006-4P	Marino-Ruggiero	Vent, Window & Door Caulking	1460	1 Bldg	\$ 3,543				
NY006-4P	Marino-Ruggiero	Tub Valves & Surrounds-Force Account & Contracted Services	1460	2 Apts	\$ 2,043				
NY006-4P	Marino-Ruggiero	Cycle Painting	1460	11 Apts	\$ 8,337				
		Subtotal Acct 1460			\$ 1,129,216	\$ -	\$ -	\$ -	

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

PHA Name		Grant Type and Number						Federal FY of Grant
Municipal Housing Authority of the City of Utica, NY		Capital Fund Program Grant Number : NY06P00650109						2009
Replacement Housing Factor Grant No:								
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	
	<u>Dwelling Equipment</u>	1465.1						
NY006-4P	Marino-Ruggiero	1465.1	4 Each	\$ 1,710.00				
NY006-4P	Perretta Twin Towers	1465.1	6 Each	\$ 2,565.00				
NY006-3P	Gillmore V. & Duplexes	1465.1	10	\$ 3,400.00				
NY006-1P	N.D. Peters Manor	1465.1	8 Each	\$ 2,565.00				
NY006-1P	FX Matts Apts	1465.1	5	\$ 2,000.00				
NY006-9P	Humphrey Gardens	1465.1	8	\$ 3,200.00				
NY006-1P	Adrean Terrace	1465.1	18	\$ 7,200.00				
	Subtotal Acct 1465.1			\$ 22,640	\$ -	\$ -	\$ -	
	<u>Non-Dwelling Structures</u>	1470						
NY006-4P	Marino-Ruggiero	1470	1 Bldg	\$ 2,700				
NY006-3P	Gillmore Village	1470	1 Dev.	\$ 2,700				
NY006-3P	Gillmore Village							
NY006-3P	Gillmore Village	1460	1 Dev.	\$ 3,000				
NY006-3P	Gillmore Village	1470	"B" Bldg	\$ 1,000				
NY006-9P	Humphrey Gardens							

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

PHA Name		Grant Type and Number						Federal FY of Grant
Municipal Housing Authority of the City of Utica, NY		Capital Fund Program Grant Number : NY06P00650109						2009
Replacement Housing Factor Grant No:								
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	
NY006-9P	Humphrey Gardens	Site Office & Community Bldg. Improvements	1470	"B" Bldg	\$ 1,000			
NY006-9P	Humphrey Gardens	Security Access	1470	1 Dev.	\$ 2,700			
NY006-1P	FX Matts Apts	Maintenance Shop Improvements	1470	"J" Bldg	\$ 1,000			
NY006-1P	FX Matts Apts	Security Access	1470	1 Dev.	\$ 2,700			
NY006-1P	Adrean Terrace	Site Office & Community Bldg. Improvements	1470	Vega Center	\$ 3,000			
NY006-1P	Adrean Terrace	Maintenance Shop Improvements	1470	Bldgs 13 & 20	\$ 1,000			
NY006-1P	Adrean Terrace	Security Access	1470	1 Dev.	\$ 2,700			
NY006-1P	N.D. Peters Manor	Maintenance Shop/Garage Improvements	1470	"J" Bldg	\$ 3,000			
NY006-1P	N.D. Peters Manor	Security Access	1470	1 Dev.	\$ 2,700			
NY006-4P	Perretta Twin Towers	Administrative & Community Room Improvements	1470	1 Bldg	\$ 5,000			
NY006-4P	Perretta Twin Towers	Maintenance Facility Improvements	1470	1 Bldg	\$ 5,000			
NY006-4P	Perretta Twin Towers	Security Access	1470	1 Bldg	\$ 2,700			
		Subtotal Acct 1470			\$ 41,900	\$ -	\$ -	\$ -
		Non-Dwelling Equipment	1475					
NY006-4P	Marino-Ruggiero	Tools and Equipment	1475	1 DEV	\$ 500			

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

PHA Name		Grant Type and Number						Federal FY of Grant	
Municipal Housing Authority of the City of Utica, NY		Capital Fund Program Grant Number : NY06P00650109						2009	
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	
NY006-3P	Gillmore Village	Tools and Equipment, Camera Surveillance Security System	1475	1 Dev	\$ 1,500				
NY006-4P	Perretta Twin Towers	Office Furniture, Tools & Equipment,	1475	1 Dev	\$ 2,500				
NY006-1P	Adrean Terrace	Tools and Equipment, Camera Surveillance Security System	1475	1 Dev	\$ 1,500				
NY006-1P	FX Matts Apts	Tools and Equipment, Camera Surveillance Security System	1475	1 Dev	\$ 1,000				
NY006-9P	Humphrey Gardens	Tools and Equipment, Camera Surveillance Security System	1475	1 Dev	\$ 1,500				
NY006-1P	N.D. Peters Manor	Tools and Equipment, Camera Surveillance Security System	1475	1 Dev	\$ 1,000				
		Subtotal Acct 1475			\$ 9,500	\$ -	\$ -	\$ -	
		Relocation Costs	1495.1						
NY006-1P	FX Matts Apts	Relocations to Accomplish Renovations & Demolition	1495.1		\$ 400				
NY006-9P	Humphrey Gardens	Relocations to Accomplish Renovations & Demolition	1495.1		\$ 400				
NY006-3P	Gillmore Village	Relocations to Accomplish Renovations & Demolition	1495.1		\$ 400				
NY006-1P	N.D. Peters Manor	Relocations to Accomplish Renovations & Demolition	1495.1		\$ 400				
NY006-1P	Adrean Terrace	Relocations to Accomplish Renovations & Demolition	1495.1		\$ 400				
		Subtotal Acct 1495.1			\$ 2,000	\$ -	\$ -	\$ -	
		Grand Total			\$ 1,733,882				

Attachment C

Municipal Housing Authority of the City of Utica

Annual Plan

Fiscal Year 01/01/2009 – 12/31/2009

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

Rosemary O'Connor

Terry Sheri

Mary Gazzilli

Julia Spina

Michelina Sychtys

Annette Main

Eleanor Wilson

Theresa Wild

Carmen Durante

Concetta Caruso

Gwen Dote

Kathy Popple

Lillian Morosco

Attachment D

Municipal Housing Authority of the City of Utica

Annual Plan

Fiscal Year 01/01/2009 - 12/31/2009

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
Marsha Baye

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

- Elected
 Appointed

C. The term of appointment is (include the date term expires):

Linda Mesagana - 2 year term expiring 06/30/09
Marsha Baye – 2 year term expiring 06/30/10

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: **06/30/2009**

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

David Roefaro, Mayor, City of Utica

Attachment E

Municipal Housing Authority of the City of Utica

Annual Plan

Fiscal Year 01/01/2009 – 12/31/2009

Implementation of Public Housing Resident Community Service Requirements

The administrative steps that we have taken 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. In 2008, a new lease addendum has been included in the public housing lease.

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 continue to coordinate with social service agencies, local schools, and the Human Resources Office in identifying a list of volunteer community service positions.

Municipal Housing Authority of the City of Utica, New York has implemented the following steps to ensure compliance with the Community Service requirements:

1. Held periodic orientation meetings with residents informing them of their requirements;
2. Conducted site-based employability and job training workshops for residents to help them meet their obligations under the regulations;
3. Mailed letters to residents who have not met requirements to advise them to comply with Community Service requirements;
4. Created a listing of local job training, educational, and volunteer programs which have been distributed to residents to assist them with meeting the requirements;
5. Held staff training workshops to provide guidance on the implementation of Community Service requirements;
6. Amended the current public housing lease to facilitate the termination of leases due to non-compliance;
7. Created new protocols to facilitate resident adherence to the Community Service requirements;
8. Developed a system to improve the monitoring of residents who need to perform community service and work activities;
9. Trained property managers to utilize the correct codes to categorize resident compliance with the Community Service requirements;
10. The development of software reports to internally monitor the above.

Attachment F

Municipal Housing Authority of the City of Utica

Annual Plan

Fiscal Year 01/01/2009 – 12/31/2009

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 accommodation 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 G

Municipal Housing Authority of the City of Utica

Annual Plan

Fiscal Year 01/01/2009 – 12/31/2009

DESCRIPTION OF UMHA HOMEOWNERSHIP PROGRAMS

The Utica Municipal Housing Authority (UMHA) currently implements or plans to undertake the following homeownership programs funded by HUD:

The HOPE VI Oneida Homes Project consists of the development of at least 40 single-family homeownership units constructed within the HOPE VI development area. All the units are intended for fee-simple sale. To date, 19 homes have been developed. Financing for the HOPE VI project is provided by the Federal Home Loan Bank of New York, the City of Utica HOME Program, New York State Division of Housing and Community Renewal, private bank mortgages and construction loans, homeowner equity, and HOPE VI funds. Oneida Homes consists of four subphases: A – 11 units (completed); B – 8 units (completed); C – 12 (under construction); and D- 9 (under construction). The precise number of units will be contingent upon final development costs and available financing.

West Utica Replacement Housing Factor Homes Project - The UMHA has received HUD Section 32 approval to make available six public housing units for purchase by eligible public housing and non-public housing residents as their principal residences. A total of 8 units have been constructed; of the number, six were financed by Replacement Housing Factor (RHF) Funds and two were funded by the City of Utica HOME Program. All of the homes are new construction detached single-family homes which were built on a model block in the West Utica area of the City of Utica. The UMHA intends to build at least two additional units using project program income.

Homeownership Supportive Services/Section 8 Homeownership Voucher Program - The Municipal Housing Authority of the City of Utica, New York (UMHA) was recently awarded a grant of \$250,000 from the United States Department of Housing and Urban Development to establish the Utica Homeownership Supportive Services (HSS) Program to help residents of our public housing projects to become homeowners. In partnership with local financial institutions, and other community and faith-based organizations. UMHA is providing coordinated outreach resident assessment, homeownership training, individual savings accounts, homeownership vouchers, supportive services, and on-going participant monitoring. A requirement of this grant is to provide

homeownership vouchers through the housing authority's Section 8 Program to clients to facilitate purchase of homes.

HUD allows housing authorities to develop Section 8 homeownership programs which are intended to promote homeownership for qualified Section 8 Housing Choice participants. The program provides continued monthly homeownership assistance payments to reduce a family's monthly mortgage payment, as well as pay for other monthly homeownership expenses. Such expenses include mortgage insurance premium, real estate taxes, homeowners insurance, and principal and interest on the debt to finance major repairs and replacements for the home.

The UMHA is planning 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. We are in the process of establishing criteria for participation, including credit worthiness standards, rental history and certain income criteria other than those established by HUD for the Section 8 Program as a whole.

Accordingly, therefore, the UMHA seeks to amend its Section 8 administrative plan to enable it to implement the Section 8 Homeownership Voucher Program. We plan to make Homeownership Vouchers available to eligible families who successfully complete training and other program requirements under Homeownership Supportive Services Program. The Section 8 Homeownership Voucher program will also be open to existing Section 8 clients. The housing authority will be providing a preference for its Section 8 program to enroll these clients into the program. The housing authority will be providing a preference for its Section 8 program to enroll these clients into the program. The proposed preference will be the following: Households who are current residents in public housing program who have been in the Self-Sufficiency, ROSS Family, Homeownership Supportive Services, and other resident service program for at least one year and are in good standing in that program.

2009 Homeownership Initiatives – The UMHA is intending to apply for funding to develop new homeownership units in the City of Utica. Funding sources for this initiative may include HOPE VI program income, Affordable Housing Corporation, New York State Division of Housing and Community Renewal, City of Utica HOME Program, and the Federal Home Loan Program.

Attachment H

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 :			
Development Number Name/HA-Wide Activities	Year 1 FFY 2009	Work Statement for Year 2 FFY Grant: <u>NY06P00650110</u> PHA FY: <u>2010</u>	Work Statement for Year 3 FFY Grant: <u>NY06P00650111</u> PHA FY: <u>2011</u>	Work Statement for Year 4 FFY Grant: <u>NY06P00650112</u> PHA FY: <u>2012</u>	Work Statement for Year 5 FFY Grant: <u>NY06P00650113</u> PHA FY: <u>2013</u>
B. Physical Improvements Subtotal	Annual Statement	\$ 1,268,256	\$ 1,268,256	\$ 1,268,256	\$ 1,268,256
C. Management Improvements		\$ 12,500	\$ 12,500	\$ 12,500	\$ 12,500
D. HA-Wide Non-dwelling Structures and Equipment					
E. Administration		\$ 173,388	\$ 173,388	\$ 173,388	\$ 173,388
F. Other Fees and Cost		\$ 50,034	\$ 50,034	\$ 50,034	\$ 50,034
G. Operations		\$ 229,704	\$ 229,704	\$ 229,704	\$ 229,704
H. Demolition					
I. Replacement Reserves					
J. Mod Used for Development					
K. Total CFP Funds		\$ 1,733,882	\$ 1,733,882	\$ 1,733,882	\$ 1,733,882
L. Total Non-Total CFP Funds					
M. Grand Total		\$ 1,733,882	\$ 1,733,882	\$ 1,733,882	\$ 1,733,882
Signature of Executive Director		Date	Signature of Public Housing Director		Date

Attachment H

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 :			
Development Number Name/HA-Wide Activities	Year 1 2009	Work Statement for Year 2 FFY Grant: 2010 PHA FY: 01/01/10	Work Statement for Year 3 FFY Grant: 2011 PHA FY: 01/01/11	Work Statement for Year 4 FFY Grant: 2012 PHA FY: 01/01/12	Work Statement for Year 5 FFY Grant: 2013 PHA FY: 01/01/13
	Annual Statement				
HA-Wide		\$ 173,388	\$ 173,388	\$ 173,388	\$ 173,388
NY06-01P		\$ 1,040,197	\$ 1,007,697	\$ 981,156	\$ 994,786
NY06-02P					
NY06-03P		\$ 200,199	\$ 220,199	\$ 200,199	\$ 200,199
NY06-04P		\$ 120,682	\$ 120,682	\$ 166,093	\$ 166,093
NY06-09P		\$ 199,416	\$ 211,916	\$ 213,046	\$ 199,416
CFP Funds Listed for 5-year planning		\$ 1,733,882	\$ 1,733,882	\$ 1,733,882	\$ 1,733,882
Replacement Housing Factor Funds		\$ 265,148	\$ 265,148	\$ 265,148	\$ 265,148

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 2 FFY Grant: 2010 PHA FY: 01/01/10			Work Statement for Year 3 FFY Grant: 2011 PHA FY: 01/01/11		
Annual Statement	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
		Management Improvements (1408)			Management Improvements (1408)	
	AT/ND/FX-1P	Training	\$ 4,300	AT/ND/FX-1P	Training	\$ 4,300
		Hardware & Software	\$ 1,075		Hardware & Software	\$ 1,075
	GV/DUPL-3P	Training	\$ 2,500	GV/DUPL-3P	Training	\$ 2,500
		Hardware & Software	\$ 625		Hardware & Software	\$ 625
	PTT/M-R-4P	Training	\$ 1,900	PTT/M-R-4P	Training	\$ 1,900
		Hardware & Software	\$ 475		Hardware & Software	\$ 475
	HG-9P	Training	\$ 1,300	HG-9P	Training	\$ 1,300
		Hardware & Software	\$ 325		Hardware & Software	\$ 325
	HA WIDE	Adminstration (1410)	\$ 173,388	HA WIDE	Adminstration (1410)	\$ 173,388
		Fees and Costs (1430) A&E Fees; Prepare Bids & Contract Documents; Assist at Bid Openings; Supervise Construction; Contract Labor			Fees and Costs (1430) A&E Fees; Prepare Bids & Contract Documents; Assist at Bid Openings; Supervise Construction; Contract Labor	
	AT/ND/FX-1P	A&E Services and Testing	\$ 21,515	AT/ND/FX-1P	A&E Services and Testing	\$ 21,515
	GV/DUPL-3P	A&E Services and Testing	\$ 12,509	GV/DUPL-3P	A&E Services and Testing	\$ 12,509
	PTT/M-R-4P	A&E Services and Testing	\$ 9,506	PTT/M-R-4P	A&E Services and Testing	\$ 9,506
	HG-9P	A&E Services and Testing	\$ 6,504	HG-9P	A&E Services and Testing	\$ 6,504
		Operations (1406)			Operations (1406)	
	AT/ND/FX-1P	Operating expenses normally paid by operating subsidy	\$ 100,000	AT/ND/FX-1P	Operating expenses normally paid by operating subsidy	\$ 100,000

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 2 FFY Grant: 2010 PHA FY: 01/01/10			Work Statement for Year 3 FFY Grant: 2011 PHA FY: 01/01/11		
Annual Statement	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
	GV/DUPL-3P	Operating expenses normally paid by operating subsidy	\$ 20,000	GV/DUPL-3P	Operating expenses normally paid by operating subsidy	\$ 20,000
	PTT/M-R-4P	Operating expenses normally paid by operating subsidy	\$ 20,000	PTT/M-R-4P	Operating expenses normally paid by operating subsidy	\$ 20,000
	HG-9P	Operating expenses normally paid by operating subsidy	\$ 89,704	HG-9P	Operating expenses normally paid by operating subsidy	\$ 89,704
	NY06-01P	Dwelling Structures (1460)		NY06-01P	Dwelling Structures (1460)	
	Adrean Terrace	Apartment Renovations	\$ 195,184	Adrean Terrace	Apartment Renovations	\$ 195,184
	Adrean Terrace	Cycle Painting	\$ 26,527	Adrean Terrace	Cycle Painting	\$ 26,527
	Adrean Terrace	Lighting	\$ 7,670	Adrean Terrace	Bath Ventilation, Tub Surround/Valves	\$ 17,500
	Adrean Terrace	Abatement-Asbestos & LBP	\$ 50,000	Adrean Terrace	Flooring	\$ 15,000
	Adrean Terrace	Flooring	\$ 15,000	Adrean Terrace	Abatement - Asbestos and LBP	\$ 50,000
	Adrean Terrace	Bath Ventilation, Tub Surround/Valves	\$ 17,500	Adrean Terrace	Replace Drain Lines	\$ 7,500
	Adrean Terrace	Replace Drain Lines	\$ 7,500	Adrean Terrace	Tub Valves - Labor & Mat'l	\$ 12,346
	Adrean Terrace	Tub Valves - Labor & Mat'l	\$ 12,346	Adrean Terrace	Windows, Bldg "4", Mat'l	\$ 54,144
				Adrean Terrace	Windows, Bldg "4", Labor	\$ 5,868
				Adrean Terrace	Windows, Bldg "4", Lead & Asbestos	\$ 4,876
				Adrean Terrace	Exterior Porch Improvements/Railings	\$ 11,370
		Site Improvements (1450)			Site Improvements (1450)	
	Adrean Terrace	Sidewalks, ADA Curb Ramps	\$ 25,000	Adrean Terrace	Sidewalks, Parking Lot Improvements & Landscaping	\$ 25,000

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 2 FFY Grant: 2010 PHA FY: 01/01/10			Work Statement for Year 3 FFY Grant: 2011 PHA FY: 01/01/11		
Annual Statement	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
		Dwelling Equipment (1465.1)			Dwelling Equipment (1465.1)	
	Adrean Terrace	Stoves and Refrigerators	\$ 7,200	Adrean Terrace	Stoves and Refrigerators	\$ 7,200
		Non-Dwelling Structures (1470)			Non-Dwelling Structures (1470)	
	Adrean Terrace	Maintenance Shop Improvements	\$ 1,000	Adrean Terrace	Maintenance Shop Improvements	\$ 1,000
		Site Office & Community Bldg	\$ 3,000		Site Office & Community Bldg	\$ 3,000
		Security Access	\$ 2,700		Security Access	\$ 2,700
		Non-Dwelling Equipment (1475)			Non-Dwelling Equipment (1475)	
	Adrean Terrace	Tools & Equipment	\$ 1,500	Adrean Terrace	Tools & Equipment	\$ 1,500
		Relocation Costs (1495.1)			Relocation Costs (1495.1)	
	Adrean Terrace	Relocations to Accomplish Renovations	\$ 400	Adrean Terrace	Relocations to Accomplish Renovations	\$ 400
					Dwelling Structures (1460)	
	N.D. Peters	Exterior Porch Improvements/ Railings	\$ 30,000	N.D. Peters	Exterior Porch Improvements/Railings	\$ 30,000
	N.D. Peters	Roof Replacement	\$ 308,243	N.D. Peters	Front Porch Exterior Siding	\$ 46,000
	N.D. Peters	Plumbing -Sanitary & Storm	\$ 5,000	N.D. Peters	Plumbing -Sanitary & Storm	\$ 5,000
	N.D. Peters	Cycle Painting	\$ 12,127	N.D. Peters	Cycle Painting	\$ 12,127
	N.D. Peters	Bath Ventilation, Tub Surround/Valves	\$ 2,043	N.D. Peters	Bath Ventilation, Tub Surround/Valves	\$ 2,043
	N.D. Peters	Flooring	\$ 1,500	N.D. Peters	Bldg "C", Lead & Asbestos Abatement	\$ 9,575
	N.D. Peters	Apartment Renovations	\$ 19,518	N.D. Peters	Window Replacemen, Bldg "C", Mat'l	\$ 94,752
				N.D. Peters	Window Replacemen, Bldg "C", Labor	\$ 14,083
				N.D. Peters	Exterior Brick Restoration	\$ 12,500

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 2 FFY Grant: 2010 PHA FY: 01/01/10			Work Statement for Year 3 FFY Grant: 2011 PHA FY: 01/01/11		
Annual Statement	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
				N.D. Peters	Replace Heating Systems	\$ 15,000
				N.D. Peters	Flooring	\$ 1,500
				N.D. Peters	Apartment Renovations	\$ 19,518
		Site Improvements (1450)			Site Improvements (1450)	
	N.D. Peters	Sidewalks, ADA Curb Ramps	\$ 10,000	N.D. Peters	Sidewalks, Parking Lots & Landscaping	\$ 10,000
		Dwelling Equipment (1465.1)			Dwelling Equipment (1465.1)	
	N.D. Peters	Appliances	\$ 2,565	N.D. Peters	Appliances	\$ 2,565
		Non-Dwelling Equipment (1470)			Non-Dwelling Equipment (1470)	
	N.D. Peters	Maintenance Shop Improvements	\$ 3,000	N.D. Peters	Maintenance Shop Improvements	\$ 3,000
	N.D. Peters	Security Access	\$ 2,700	N.D. Peters	Security Access	\$ 2,700
		Non-Dwelling Equipment (1475)			Non-Dwelling Equipment (1475)	
	N.D. Peters	Tools & Equipment	\$ 1,000	N.D. Peters	Tools & Equipment	\$ 1,000
		Relocation Costs (1495.1)			Relocation Costs (1495.1)	
	N.D. Peters	Relocations to Accomplish Renovations	\$ 400	N.D. Peters	Relocations to Accomplish Renovations	\$ 400
		Dwelling Structures (1460)			Dwelling Structures (1460)	
	F.X. Matt Apts	Flooring	\$ 6,000	F.X. Matt Apts	Flooring	\$ 6,000
	F.X. Matt Apts	Abatement-Asbestos & LBP	\$ 20,000	F.X. Matt Apts	Abatement - Asbestos and LBP	\$ 20,000
	F.X. Matt Apts	Bath Ventilation, Tub Surround/Valves	\$ 8,173	F.X. Matt Apts	Bath Ventilation, Tub Surround/Valves	\$ 8,173
	F.X. Matt Apts	Cycle Painting	\$ 8,337	F.X. Matt Apts	Cycle Painting	\$ 8,337
	F.X. Matt Apts	Apartment Renovations	\$ 78,074	F.X. Matt Apts	Apartment Renovations	\$ 78,074
	F.X. Matt Apts	Plumbing -Sanitary & Storm	\$ 5,000	F.X. Matt Apts	Replace Heating Systems	\$ 15,245
			\$ -			

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 2 FFY Grant: 2010 PHA FY: 01/01/10			Work Statement for Year 3 FFY Grant: 2011 PHA FY: 01/01/11		
Annual Statement	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
				F.X. Matt Apts	Plumbing -Sanitary & Storm	\$ 5,000
					Site Improvements (1450)	
		Site Improvements (1450)				
	F.X. Matt Apts	Sidewalks, ADA Curb Ramps	\$ 10,000	F.X. Matt Apts	Sidewalks, Parking Lots & Landscaping	\$ 10,000
			\$ -			
			\$ -			\$ -
		Non-Dwelling Equipment (1470)			Non-Dwelling Equipment (1470)	
	F.X. Matt Apts	Maintenance Shop Improvements	\$ 1,000	F.X. Matt Apts	Maintenance Shop Improvements	\$ 1,000
	F.X. Matt Apts	Security Access	\$ 2,700	F.X. Matt Apts	Security Access	\$ 2,700
		Non-Dwelling Equipment (1475)			Non-Dwelling Equipment (1475)	
	F.X. Matt Apts	Tools & Equipment	\$ 1,000	F.X. Matt Apts	Tools & Equipment	\$ 1,000
			\$ -			\$ -
		Dwelling Equipment (1465.1)			Dwelling Equipment (1465.1)	
	F.X. Matt Apts	Appliances	\$ 2,000	F.X. Matt Apts	Appliances	\$ 2,000
		Relocation Costs (1495.1)			Relocation Costs (1495.1)	
	FX Matts Apts	Relocations to Accomplish Renovations	\$ 400	FX Matts Apts	Relocations to Accomplish Renovations	\$ 400
		Subtotal NY06-01P	1,040,197.00		Subtotal NY06-01P	1,007,697.00
	NY06-03P	Dwelling Structures (1460)		NY06-03P	Dwelling Structures (1460)	
	Gillmore Village	Cycle Painting	\$ 25,769	Gillmore Village	Cycle Painting	\$ 25,769

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 2 FFY Grant: 2010 PHA FY: 01/01/10			Work Statement for Year 3 FFY Grant: 2011 PHA FY: 01/01/11		
	Annual Statement	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories
	Gillmore Village	Apartment Renovations	\$ 39,037	Gillmore Village	Apartment Renovations	\$ 39,037
	Gillmore Village	Soil Remediation	\$ 50,000	Gillmore Village	Soil Remediation	\$ 50,000
				Gillmore Village	Exterior Brick Restoration	\$ 20,000
	Gillmore Village	Abatement-Asbestos & LBP	\$ 3,000	Gillmore Village	Abatement-Asbestos & LBP	\$ 3,000
	Gillmore Village	Flooring	\$ 10,000	Gillmore Village	Flooring	\$ 10,000
	Gillmore Village	Bath Ventilation, Tub Surround/Valves	\$ 12,259	Gillmore Village	Bath Ventilation, Tub Surround/Valves	\$ 12,259
	Gillmore Village	Replace Drain Lines	\$ 7,500	Gillmore Village	Replace Drain Lines	\$ 7,500
		Site Improvements (1450)			Site Improvements (1450)	
	Gillmore Village	Sidewalks, ADA Curb Ramps	\$ 5,000	Gillmore Village	Sidewalks, Parking Lots & Landscaping	\$ 5,000
		Dwelling Equipment (1465.1)			Dwelling Equipment (1465.1)	
	Gillmore Village	Appliances	\$ 3,400	Gillmore Village	Appliances	\$ 3,400
		Non-Dwelling Structures (1470)			Non-Dwelling Structures (1470)	
	Gillmore Village	Site Office & Community Bldg	\$ 1,000	Gillmore Village	Site Office & Community Bldg	\$ 1,000
	Gillmore Village	Security Access	\$ 2,700	Gillmore Village	Security Access	\$ 2,700
	Gillmore Village	Community Bldg/Computer Lab	\$ 3,000	Gillmore Village	Community Bldg/Computer Lab	\$ 3,000
		Non-Dwelling Equipment (1475)			Non-Dwelling Equipment (1475)	
	Gillmore Village	Tools & Equipment	\$ 1,500	Gillmore Village	Tools & Equipment	\$ 1,500
		Relocation Costs (1495.1)			Relocation Costs (1495.1)	

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 2 FFY Grant: 2010 PHA FY: 01/01/10			Work Statement for Year 3 FFY Grant: 2011 PHA FY: 01/01/11		
Annual Statement	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
	Gillmore Village	Relocations to Accomplish Renovations	\$ 400	Gillmore Village	Relocations to Accomplish Renovations	\$ 400
		Subtotal NY06-03P	\$ 200,199		Subtotal NY06-03P	\$ 220,199
	NY06-09P	Site Improvements (1450)		NY06-09P	Site Improvements (1450)	
	Humphrey Gard	Sidewalks, ADA Curb Ramps	\$ 5,000	Humphrey Gard	Sidewalks, ADA Curb Ramps	\$ 5,000
		Dwelling Structures (1460)			Dwelling Structures (1460)	
	Humphrey Gard	Cycle Painting	\$ 14,400	Humphrey Gard	Cycle Painting	\$ 14,400
	Humphrey Gard	Bath Ventilation, Tub Surround/Valves	\$ 16,346	Humphrey Gard	Bath Ventilation, Tub Surround/Valves	\$ 16,346
	Humphrey Gard	Plumbing-Sanitary & Storm	\$ 5,000	Humphrey Gard	Plumbing-Sanitary & Storm	\$ 5,000
	Humphrey Gard	Apartment Renovations	\$ 39,037	Humphrey Gard	Apartment Renovations	\$ 39,037
	Humphrey Gard	Flooring	\$ 3,000	Humphrey Gard	Flooring	\$ 3,000
	Humphrey Gard	Abatement-Asbestos & LBP	\$ 10,000	Humphrey Gard	Abatement-Asbestos & LBP	\$ 10,000
				Humphrey Gard	Exterior Brick Restoration	\$ 12,500
		Dwelling Equipment (1465.1)			Dwelling Equipment (1465.1)	
	Humphrey Gard	Appliances	\$ 3,200	Humphrey Gard	Appliances	\$ 3,200
		Non-Dwelling Structures (1470)			Non-Dwelling Structures (1470)	
	Humphrey Gard	Maintenance Shop Improvements	\$ 1,000	Humphrey Gard	Maintenance Shop Improvements	\$ 1,000

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 2 FFY Grant: 2010 PHA FY: 01/01/10			Work Statement for Year 3 FFY Grant: 2011 PHA FY: 01/01/11		
Annual Statement	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
	Humphrey Gard	Security Access	\$ 2,700	Humphrey Gard	Security Access	\$ 2,700
		Non-Dwelling Equipment (1475)			Non-Dwelling Equipment (1475)	
	Humphrey Gard	Tools & Equipment	\$ 1,500	Humphrey Gard	Tools & Equipment	\$ 1,500
		Relocation Costs (1495.1)			Relocation Costs (1495.1)	
	Humphrey Gard	Relocations to Accomplish Renovations	\$ 400	Humphrey Gard	Relocations to Accomplish Renovations	\$ 400
		Subtotal NY06-09P	\$ 199,416		Subtotal NY06-09P	\$ 211,916
	NY06-04P	Dwelling Structures (1460)		NY06-04P	Dwelling Structures (1460)	
	Perretta Twin	Cycle Painting	\$ 14,400	Perretta Twin	Cycle Painting	\$ 14,400
	Perretta Twin	Flooring	\$ 3,000	Perretta Twin	Flooring	\$ 3,000
	Perretta Twin	Abatement-Asbestos & LBP	\$ 10,000	Perretta Twin	Abatement-Asbestos & LBP	\$ 10,000
	Perretta Twin	Apartment Renovations	\$ 10,173	Perretta Twin	Apartment Renovations	\$ 10,173
	Perretta Twin			Perretta Twin		
	NY06-04P	Site Improvements (1450)		NY06-04P	Site Improvements (1450)	
	Perretta Twin	Landscaping, Sidewalk Replacement	\$ 4,000	Perretta Twin	Landscaping, Sidewalk Replacement	\$ 4,000
		Dwelling Equipment (1465.1)			Dwelling Equipment (1465.1)	
	Perretta Twin	Appliances	\$ 2,565	Perretta Twin	Appliances	\$ 2,565
		Non-Dwelling Equipment (1470)			Non-Dwelling Equipment (1470)	
	Perretta Twin	Maintenance Facility Improvements	\$ 5,000	Perretta Twin	Maintenance Facility Improvements	\$ 5,000

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 2 FFY Grant: 2010 PHA FY: 01/01/10			Work Statement for Year 3 FFY Grant: 2011 PHA FY: 01/01/11		
Annual Statement	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
	Perretta Twin	Admin. & Commun. Rm Improvements	\$ 5,000	Perretta Twin	Admin. & Commun. Rm Improvements	\$ 5,000
	Perretta Twin	Security Access	\$ 2,700	Perretta Twin	Security Access	\$ 2,700
		Non-Dwelling Equipment (1475)			Non-Dwelling Equipment (1475)	
	Perretta Twin	Office Furniture, Tools & Equipment	\$ 2,500	Perretta Twin	Office Furniture, Tools & Equipment	\$ 2,500
	NY06-04P	Dwelling Structures (1460)		NY06-04P	Dwelling Structures (1460)	
	Marino-Ruggiero	Cycle Painting	\$ 8,337	Marino-Ruggiero	Cycle Painting	\$ 8,337
	Marino-Ruggiero	Tub Surrounds, Shower Valves	\$ 2,043	Marino-Ruggiero	Tub Surrounds, Shower Valves	\$ 2,043
	Marino-Ruggiero			Marino-Ruggiero		
	Marino-Ruggiero	Apartment Renovations	\$ 10,173	Marino-Ruggiero	Apartment Renovations	\$ 10,173
	NY06-04P	Site Improvements (1450)		NY06-04P	Site Improvements (1450)	
	Marino-Ruggiero	Landscaping, Sidewalk Replacement	\$ 4,000	Marino-Ruggiero	Landscaping, Sidewalk Replacement	\$ 4,000
		Dwelling Equipment (1465.1)			Dwelling Equipment (1465.1)	
	Marino-Ruggiero	Appliances	\$ 1,710	Marino-Ruggiero	Appliances	\$ 1,710
		Non-Dwelling Equipment (1475)			Non-Dwelling Equipment (1475)	
	Marino-Ruggiero	Tools & Equipment	\$ 500	Marino-Ruggiero	Tools & Equipment	\$ 500
		Non-Dwelling Equipment (1470)			Non-Dwelling Equipment (1470)	
	Marino-Ruggiero	Security Access	\$ 2,700	Marino-Ruggiero	Security Access	\$ 2,700
		Subtotal NY06-04P	\$ 120,682		Subtotal NY06-04P	\$ 120,682

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 4 FFY Grant: 2012 PHA FY: 01/01/12			Work Statement for Year 5 FFY Grant: 2013 PHA FY: 01/01/13		
Annual Statement	Development Name/Number	Major Work Categories	Estiamted Cost	Development Name/Number	Major Work Categories	Estiamted Cost
		Management Improvements (1408)		HA Wide	Management Improvements (1408)	
	AT/ND/FX-1P	Training	\$ 4,300	AT/ND/FX-1P	Training	\$ 4,300
		Hardware & Software	\$ 1,075		Hardware & Software	\$ 1,075
	GV/DUPL-3P	Training	\$ 2,500	GV/DUPL-3P	Training	\$ 2,500
		Hardware & Software	\$ 625		Hardware & Software	\$ 625
	PTT/M-R-4P	Training	\$ 1,900	PTT/M-R-4P	Training	\$ 1,900
		Hardware & Software	\$ 475		Hardware & Software	\$ 475
	HG-9P	Training	\$ 1,300	HG-9P	Training	\$ 1,300
		Hardware & Software	\$ 325		Hardware & Software	\$ 325
	HA WIDE	Adminstration (1410)	\$ 173,388	HA WIDE	Adminstration (1410)	\$ 173,388
		Fees and Costs (1430)	A&E Fees;		Fees and Costs (1430)	A&E Fees;
		Prepare Bids & Contract Documents; Assist at Bid Openings; Supervise Construction; Contract Labor			Prepare Bids & Contract Documents; Assist at Bid Openings; Supervise Construction; Contract Labor	
	AT/ND/FX-1P	A&E Services and Testing	\$ 21,515	AT/ND/FX-1P	A&E Services and Testing	\$ 21,515
	GV/DUPL-3P	A&E Services and Testing	\$ 12,509	GV/DUPL-3P	A&E Services and Testing	\$ 12,509
	PTT/M-R-4P	A&E Services and Testing	\$ 9,506	PTT/M-R-4P	A&E Services and Testing	\$ 9,506
	HG-9P	A&E Services and Testing	\$ 6,504	HG-9P	A&E Services and Testing	\$ 6,504
		Operations (1406)			Operations (1406)	
	AT/ND/FX-1P	Operating expenses normally paid by operating subsidy	\$ 100,000	AT/ND/FX-1P	Operating expenses normally paid by operating subsidy	\$ 100,000

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 4 FFY Grant: 2012 PHA FY: 01/01/12			Work Statement for Year 5 FFY Grant: 2013 PHA FY: 01/01/13		
Annual Statement	Development Name/Number	Major Work Categories	Estiamted Cost	Development Name/Number	Major Work Categories	Estiamted Cost
	GV/DUPL-3P	Operating expenses normally paid by operating subsidy	\$ 20,000	GV/DUPL-3P	Operating expenses normally paid by operating subsidy	\$ 20,000
	PTT/M-R-4P	Operating expenses normally paid by operating subsidy	\$ 20,000	PTT/M-R-4P	Operating expenses normally paid by operating subsidy	\$ 20,000
	HG-9P	Operating expenses normally paid by operating subsidy	\$ 89,704	HG-9P	Operating expenses normally paid by operating subsidy	\$ 89,704
	NY06-01P	Dwelling Structures (1460)		NY06-01P	Dwelling Structures (1460)	
	Adrean Terrace	Apartment Renovations	\$ 195,184	Adrean Terrace	Apartment Renovations	\$ 195,184
	Adrean Terrace	Cycle Painting	\$ 26,527	Adrean Terrace	Cycle Painting	\$ 26,527
	Adrean Terrace	Bath Ventilation, Tub Surround/Valves	\$ 17,500	Adrean Terrace		
	Adrean Terrace	Flooring	\$ 15,000	Adrean Terrace	Abatement-Asbestos & LBP	\$ 50,000
	Adrean Terrace	Abatement-Asbestos & LBP	\$ 50,000	Adrean Terrace	Flooring	\$ 15,000
	Adrean Terrace	Replace Drain Lines	\$ 7,500	Adrean Terrace	Bath Ventilation, Tub Surround/Valves	\$ 17,500
	Adrean Terrace	Tub Valves - Labor & Mat'l	\$ 12,346	Adrean Terrace	Replace Drain Lines	\$ 7,500
	Adrean Terrace	Windows, Bldg "6", Mat'l	\$ 60,912	Adrean Terrace	Tub Valves - Labor & Mat'l	\$ 12,346
	Adrean Terrace	Windows, Bldg "6", Labor	\$ 7,824	Adrean Terrace	Windows, Bldg "7", Mat'l	\$ 60,912
	Adrean Terrace	Windows, Bldg "6", Lead & Asbestos	\$ 5,320	Adrean Terrace	Windows, Bldg "7", Labor	\$ 7,824
	Adrean Terrace	Exterior Brick Restoration	\$ 25,000	Adrean Terrace	Windows, Bldg "7", Lead & Asbestos	\$ 5,320
	Adrean Terrace	Exterior Porch Improvements/Railings	\$ 11,370	Adrean Terrace	Exterior Porch Improvements/Railings	\$ 77,256
		Site Improvements (1450)			Site Improvements (1450)	
	Adrean Terrace	Sidewalks, Parking Lot Improvements & Landscaping	\$ 25,000	Adrean Terrace	Sidewalks, Parking Lot Improvements & Landscaping	\$ 25,000

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 4 FFY Grant: 2012 PHA FY: 01/01/12			Work Statement for Year 5 FFY Grant: 2013 PHA FY: 01/01/13		
Annual Statement	Development Name/Number	Major Work Categories	Estiamted Cost	Development Name/Number	Major Work Categories	Estiamted Cost
		Dwelling Equipment (1465.1)			Dwelling Equipment (1465.1)	
	Adrean Terrace	Stoves and Refrigerators	\$ 7,200	Adrean Terrace	Stoves and Refrigerators	\$ 7,200
		Non-Dwelling Structures (1470)			Non-Dwelling Structures (1470)	
	Adrean Terrace	Maintenance Shop Improvements	\$ 1,000	Adrean Terrace	Maintenance Shop Improvements	\$ 1,000
		Site Office & Community Bldg	\$ 3,000		Site Office & Community Bldg	\$ 3,000
		Security Access	\$ 2,700		Security Access	\$ 2,700
		Non-Dwelling Equipment (1475)			Non-Dwelling Equipment (1475)	
	Adrean Terrace	Tools & Equipment	\$ 1,500	Adrean Terrace	Tools & Equipment	\$ 1,500
		Relocation Costs (1495.1)			Relocation Costs (1495.1)	
	Adrean Terrace	Relocations to Accomplish Renovations	\$ 400	Adrean Terrace	Relocations to Accomplish Renovations	\$ 400
		Dwelling Structures (1460)			Dwelling Structures (1460)	
	N.D. Peters	Exterior Porch Improvements/ Railings	\$ 30,000	N.D. Peters	Exterior Porch Improvements/ Railings	\$ 30,000
	N.D. Peters			N.D. Peters		
	N.D. Peters	Plumbing -Sanitary & Storm	\$ 5,000	N.D. Peters	Plumbing -Sanitary & Storm	\$ 5,000
	N.D. Peters	Cycle Painting	\$ 12,127	N.D. Peters	Cycle Painting	\$ 12,127
	N.D. Peters	Bath Ventilation, Tub Surround/Valves	\$ 2,043	N.D. Peters	Bath Ventilation, Tub Surround/Valves	\$ 2,043
	N.D. Peters	Flooring	\$ 1,500	N.D. Peters	Flooring	\$ 1,500
	N.D. Peters	Apartment Renovations	\$ 19,518	N.D. Peters	Apartment Renovations	\$ 19,518
	N.D. Peters	Bldg "D", Lead & Asbestos Abatement	\$ 5,497	N.D. Peters	Bldg "E", Lead & Asbestos Abatement	\$ 5,497
	N.D. Peters	Window Replacemen, Bldg "D", Mat'l	\$ 42,864	N.D. Peters	Window Replacemen, Bldg "E", Mat'l	\$ 40,608

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 4 FFY Grant: 2012 PHA FY: 01/01/12			Work Statement for Year 5 FFY Grant: 2013 PHA FY: 01/01/13		
Annual Statement	Development Name/Number	Major Work Categories	Estiamted Cost	Development Name/Number	Major Work Categories	Estiamted Cost
	N.D. Peters	Window Replacemen, Bldg "D", Labor	\$ 8,085	N.D. Peters	Window Replacemen, Bldg "E", Labor	\$ 8,085
	N.D. Peters	Replace Heating Systems	\$ 40,000	N.D. Peters	Replace Heating Systems	\$ 40,000
	N.D. Peters	Exterior Brick Restoration	\$ 25,000			
		Site Improvements (1450)			Site Improvements (1450)	
	N.D. Peters	Sidewalks, Parking Lots & Landscaping	\$ 10,000	N.D. Peters	Sidewalks, Parking Lots & Landscaping	\$ 10,000
		Dwelling Equipment (1465.1)			Dwelling Equipment (1465.1)	
	N.D. Peters	Appliances	\$ 2,565	N.D. Peters	Appliances	\$ 2,565
		Non-Dwelling Equipment (1470)			Non-Dwelling Equipment (1470)	
	N.D. Peters	Maintenance Shop Improvements	\$ 3,000	N.D. Peters	Maintenance Shop Improvements	\$ 3,000
	N.D. Peters	Security Access	\$ 2,700	N.D. Peters	Security Access	\$ 2,700
		Non-Dwelling Equipment (1475)			Non-Dwelling Equipment (1475)	
	N.D. Peters	Tools & Equipment	\$ 1,000	N.D. Peters	Tools & Equipment	\$ 1,000
		Relocation Costs (1495.1)			Relocation Costs (1495.1)	
	N.D. Peters	Relocations to Accomplish Renovations	\$ 400	N.D. Peters	Relocations to Accomplish Renovations	\$ 400
		Dwelling Structures (1460)			Dwelling Structures (1460)	
	F.X. Matt Apts	Flooring	\$ 6,000	F.X. Matt Apts	Flooring	\$ 6,000
	F.X. Matt Apts	Abatement-Asbestos & LBP	\$ 20,000	F.X. Matt Apts	Abatement-Asbestos & LBP	\$ 20,000
	F.X. Matt Apts	Bath Ventilation, Tub Surround/Valves	\$ 8,173	F.X. Matt Apts	Bath Ventilation, Tub Surround/Valves	\$ 8,173
	F.X. Matt Apts	Cycle Painting	\$ 8,337	F.X. Matt Apts	Cycle Painting	\$ 8,337
	F.X. Matt Apts	Apartment Renovations	\$ 78,074	F.X. Matt Apts	Apartment Renovations	\$ 78,074
	F.X. Matt Apts	Plumbing -Sanitary & Storm	\$ 5,000	F.X. Matt Apts	Plumbing -Sanitary & Storm	\$ 5,000
	F.X. Matt Apts	Replace Heating Systems	\$ 25,000	F.X. Matt Apts	Replace Heating Systems	\$ 25,000

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 4 FFY Grant: 2012 PHA FY: 01/01/12			Work Statement for Year 5 FFY Grant: 2013 PHA FY: 01/01/13		
	Annual Statement	Development Name/Number	Major Work Categories	Estiamted Cost	Development Name/Number	Major Work Categories
	Gillmore Village	Apartment Renovations	\$ 39,037	Gillmore Village	Apartment Renovations	\$ 39,037
	Gillmore Village	Soil Remediation	\$ 50,000	Gillmore Village	Soil Remediation	\$ 50,000
	Gillmore Village	Abatement-Asbestos & LBP	\$ 3,000	Gillmore Village	Abatement-Asbestos & LBP	\$ 3,000
	Gillmore Village	Flooring	\$ 10,000	Gillmore Village	Flooring	\$ 10,000
	Gillmore Village	Bath Ventilation, Tub Surround/Valves	\$ 12,259	Gillmore Village	Bath Ventilation, Tub Surround/Valves	\$ 12,259
	Gillmore Village	Replace Drain Lines	\$ 7,500	Gillmore Village	Replace Drain Lines	\$ 7,500
		Site Improvements (1450)			Site Improvements (1450)	
	Gillmore Village	Sidewalks, Parking Lots & Landscaping	\$ 5,000	Gillmore Village	Sidewalks, Parking Lots & Landscaping	\$ 5,000
		Dwelling Equipment (1465.1)			Dwelling Equipment (1465.1)	
	Gillmore Village	Appliances	\$ 3,400	Gillmore Village	Appliances	\$ 3,400
		Non-Dwelling Structures (1470)			Non-Dwelling Structures (1470)	
	Gillmore Village	Site Office & Community Bldg	\$ 1,000	Gillmore Village	Site Office & Community Bldg	\$ 1,000
	Gillmore Village	Security Access	\$ 2,700	Gillmore Village	Security Access	\$ 2,700
	Gillmore Village	Community Bldg/Computer Lab	\$ 3,000	Gillmore Village	Community Bldg/Computer Lab	\$ 3,000
		Non-Dwelling Equipment (1475)			Non-Dwelling Equipment (1475)	
	Gillmore Village	Tools & Equipment	\$ 1,500	Gillmore Village	Tools & Equipment	\$ 1,500
		Relocation Costs (1495.1)			Relocation Costs (1495.1)	

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 4 FFY Grant: 2012 PHA FY: 01/01/12			Work Statement for Year 5 FFY Grant: 2013 PHA FY: 01/01/13		
	Annual Statement	Development Name/Number	Major Work Categories	Estiamted Cost	Development Name/Number	Major Work Categories
	Gillmore Village	Relocations to Accomplish Renovations	\$ 400	Gillmore Village	Relocations to Accomplish Renovations	\$ 400
		Subtotal NY06-03P	\$ 200,199		Subtotal NY06-03P	\$ 200,199
	NY06-09P	Site Improvements (1450)		NY06-09P	Site Improvements (1450)	
	Humphrey Gard	Sidewalks, Parking Lots & Landscaping	\$ 5,000	Humphrey Gard	Sidewalks, Parking Lots & Landscaping	\$ 5,000
		Dwelling Structures (1460)			Dwelling Structures (1460)	
	Humphrey Gard	Cycle Painting	\$ 14,400	Humphrey Gard	Cycle Painting	\$ 14,400
	Humphrey Gard	Bath Ventilation, Tub Surround/Valves	\$ 16,346	Humphrey Gard	Bath Ventilation, Tub Surround/Valves	\$ 16,346
	Humphrey Gard	Plumbing-Sanitary & Storm	\$ 5,000	Humphrey Gard	Plumbing-Sanitary & Storm	\$ 5,000
	Humphrey Gard	Apartment Renovations	\$ 39,037	Humphrey Gard	Apartment Renovations	\$ 39,037
	Humphrey Gard	Flooring	\$ 3,000	Humphrey Gard	Flooring	\$ 3,000
	Humphrey Gard	Abatement-Asbestos & LBP	\$ 10,000	Humphrey Gard	Abatement-Asbestos & LBP	\$ 10,000
	Humphrey Gard	Exterior Brick Restoration	\$ 13,630			
		Dwelling Equipment (1465.1)			Dwelling Equipment (1465.1)	
	Humphrey Gard	Appliances	\$ 3,200	Humphrey Gard	Appliances	\$ 3,200
		Non-Dwelling Structures (1470)			Non-Dwelling Structures (1470)	
	Humphrey Gard	Maintenance Shop Improvements	\$ 1,000	Humphrey Gard	Maintenance Shop Improvements	\$ 1,000

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 4 FFY Grant: 2012 PHA FY: 01/01/12			Work Statement for Year 5 FFY Grant: 2013 PHA FY: 01/01/13		
Annual Statement	Development Name/Number	Major Work Categories	Estiamted Cost	Development Name/Number	Major Work Categories	Estiamted Cost
	Humphrey Gard	Security Access	\$ 2,700	Humphrey Gard	Security Access	\$ 2,700
		Non-Dwelling Equipment (1475)			Non-Dwelling Equipment (1475)	
	Humphrey Gard	Tools & Equipment	\$ 1,500	Humphrey Gard	Tools & Equipment	\$ 1,500
		Relocation Costs (1495.1)			Relocation Costs (1495.1)	
	Humphrey Gard	Relocations to Accomplish Renovations	\$ 400	Humphrey Gard	Relocations to Accomplish Renovations	\$ 400
		Subtotal NY06-09P	\$ 213,046		Subtotal NY06-09P	\$ 199,416
	NY06-04P	Dwelling Structures (1460)		NY06-04P	Dwelling Structures (1460)	
	Perretta Twin	Cycle Painting	\$ 14,400	Perretta Twin	Cycle Painting	\$ 14,400
	Perretta Twin	Flooring	\$ 3,000	Perretta Twin	Flooring	\$ 3,000
	Perretta Twin	Abatement-Asbestos & LBP	\$ 10,000	Perretta Twin	Abatement-Asbestos & LBP	\$ 10,000
	Perretta Twin	Apartment Renovations	\$ 10,173	Perretta Twin	Apartment Renovations	\$ 10,173
	Perretta Twin	Exterior Block Restoration	\$ 45,411	Perretta Twin	Exterior Block Restoration	\$ 45,411
	NY06-04P	Site Improvements (1450)		NY06-04P	Site Improvements (1450)	
	Perretta Twin	Landscaping, Sidewalk Replacement	\$ 4,000	Perretta Twin	Landscaping, Sidewalk Replacement	\$ 4,000
		Dwelling Equipment (1465.1)			Dwelling Equipment (1465.1)	
	Perretta Twin	Appliances	\$ 2,565	Perretta Twin	Appliances	\$ 2,565
		Non-Dwelling Equipment (1470)			Non-Dwelling Equipment (1470)	
	Perretta Twin	Maintenance Facility Improvements	\$ 5,000	Perretta Twin	Maintenance Facility Improvements	\$ 5,000

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages-Work Activities

Activities for Year 1	Work Statement for Year 4 FFY Grant: 2012 PHA FY: 01/01/12			Work Statement for Year 5 FFY Grant: 2013 PHA FY: 01/01/13		
	Annual Statement	Development Name/Number	Major Work Categories	Estiamted Cost	Development Name/Number	Major Work Categories
	Perretta Twin	Admin. & Commun. Rm Improvements	\$ 5,000	Perretta Twin	Admin. & Commun. Rm Improvements	\$ 5,000
	Perretta Twin	Security Access	\$ 2,700	Perretta Twin	Security Access	\$ 2,700
		Non-Dwelling Equipment (1475)			Non-Dwelling Equipment (1475)	
	Perretta Twin	Office Furniture, Tools & Equipment	\$ 2,500	Perretta Twin	Office Furniture, Tools & Equipment	\$ 2,500
	NY06-04P	Dwelling Structures (1460)		NY06-04P	Dwelling Structures (1460)	
	Marino-Ruggiero	Cycle Painting	\$ 8,337	Marino-Ruggiero	Cycle Painting	\$ 8,337
	Marino-Ruggiero	Tub Surrounds, Shower Valves	\$ 2,043	Marino-Ruggiero	Tub Surrounds, Shower Valves	\$ 2,043
	Marino-Ruggiero			Marino-Ruggiero		
	Marino-Ruggiero	Apartment Renovations	\$ 10,173	Marino-Ruggiero	Apartment Renovations	\$ 10,173
	NY06-04P	Site Improvements (1450)		NY06-04P	Site Improvements (1450)	
	Marino-Ruggiero	Landscaping, Sidewalk Replacement	\$ 4,000	Marino-Ruggiero	Landscaping, Sidewalk Replacement	\$ 4,000
		Dwelling Equipment (1465.1)			Dwelling Equipment (1465.1)	
	Marino-Ruggiero	Appliances	\$ 1,710	Marino-Ruggiero	Appliances	\$ 1,710
		Non-Dwelling Equipment (1475)			Non-Dwelling Equipment (1475)	
	Marino-Ruggiero	Tools & Equipment	\$ 500	Marino-Ruggiero	Tools & Equipment	\$ 500
		Non-Dwelling Equipment (1470)			Non-Dwelling Equipment (1470)	
	Marino-Ruggiero	Security Access	\$ 2,700	Marino-Ruggiero	Security Access	\$ 2,700
		Subtotal NY06-04P	\$ 166,093		Subtotal NY06-04P	\$ 166,093

ATTACHMENT I
Fiscal Year 2009 Annual Plan
Resident Advisory Board Meeting Comments

Resident Advisory Board Meeting
2008 Amended Annual Plan/2009 Annual Plan
September 24, 2008, 1:30 P.M.
Municipal Housing Authority Main Office
509 Second Street, Utica

Attendance: Theresa Wild, Linda Mesagna, Carmen Durante, Concetta Caruso, Gwen Dote, Lillian Moracco, Mary Lou Bojdak, Julia Spina, Terry Scheri, Rosemary O'Connor, John Furman, Bridget Rubino, Brian Jennings, Francine Mulchy

This meeting was called to order at 1:30 PM by John Furman. Mr. Furman said that this is the first of three meetings of the Resident Advisory Board to review both the amended 2008 and 2009 Annual Plans. He reviewed the following meeting agenda with the members of the RAB:

1. Overview of Agency Plan Process
 - a. Amended 2008 Plan
 - b. 2009 Plan
2. Resident Involvement
3. Next RAB Meeting - Wednesday, October 1, 1:30 p.m.
4. Public Hearing - Wednesday, October 15, 2008 4:00 p.m.
5. Amended Annual Plan Changes
 - a. Humphrey Gardens Surplus Property Disposition
 - b. Replacement Housing Factor Funding
 - c. Section 8 Homeownership Voucher Program
6. Review of 2009 Annual Plan
7. Resident Needs/Initiatives
8. Comments/Questions

Mr. Furman said that the first part of the meeting will involve training on the Annual Plan and resident involvement. The second part will briefly discuss the major changes proposed in the 2008 Amended Plan as well as the 2009 Plan.

Mr. Furman provided an overview of the Agency Plan, the reason the Plan is created and what the Housing Authority is required by the U.S. Department of Housing and Urban Development (HUD) to submit. He also distributed handouts of information from the HUD website regarding the Annual Plan development process. He explained the parts of the Annual Plan, the needs for resident involvement, and the public hearing requirement.

Mr. Furman stressed the importance of residents becoming engaged in the Annual Plan Development process.

Mr. Furman read the Mission Statement for the Utica Municipal Housing Authority. He explained that the Five-Year Plan describes the mission of the agency and the agency's long-range goals and objectives for achieving its mission over a five-year period. The Mission Statement of the UMHA is as follows:

“The mission of the Utica Municipal Housing Authority of the City of Utica, New York (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.”

In addition, an explanation was provided as to how the Plan is formulated. It was explained that three (3) meetings of the Resident Advisory Council would be required to review the Annual Plans. The first meeting will provide a general explanation, the purpose and requirements of the Plan and the importance of the Resident Advisory Councils involvement.

Mr. Furman explained the PHA Plan Overview. He indicated that any local, regional or state agency that receives funds to operate federal Public Housing or Section 8 Tenant-based assistance voucher programs must submit a PHA Plan.

It was discussed how the PHA's residents can play an important role in the development of the PHA Plan. Through the planning process, residents can ensure that their needs are being addressed and become more involved in issues that directly affect them. Through involvement in the PHA Plan, residents will be more aware of the process that the PHA undergoes to prioritize agency activities. Residents also can provide important information regarding the physical condition of the developments as well as physical or management improvements that are needed.

Mr. Furman explained the different types of PHA Plan submission. They are:

- 1) Standard PHA Plan
- 2) Streamlined PHA Plan
- 3) Troubled PHA Plan
- 4) Small PHA Plan Update

It was explained that the Annual Plan must be submitted to HUD with a Board Resolution approving the Plan and certifying that a public hearing was held regarding the Plan. The Public Hearing is planned for Wednesday, October 15, 2008.

The PHA Plan Development Steps and Timeline were explained. Many of the steps require coordination with other organizations and agencies, as well as the Resident Advisory Board. The timeline is as follows:

- 1) Establish Schedule
- 2) Gather Template and Guidance
- 3) Establish RAB(s)
- 4) Consult with Consolidated Plan Agency
- 5) Gather Relevant RAH Documents and Information
- 6) Develop Plan
- 7) Publish Notification and Make Plan Available for Review
- 8) Hold Public Haring
- 9) Obtain Signatures on Certifications
- 10) Submit completed Electronic Template
- 11) Obtain HUD Review and Approval

Mr. Furman advised the Resident Advisory Board members that as they review the Plan, they should contact him if they have any questions or require further information.

Mr. Furman next provided a training session on the role of residents in housing authority operations. He discussed the following topics:

1. Role of the PHA & Relationship to HUD
2. Duties of the PHA
3. Duties of the Residents
4. Federal Rules for Tenant Participation in Public Housing Operations
5. Resident Participation in the PHA Plan Process
6. Resident Advisory Board

Mr. Furman indicated that there the UMHA is proposing three major changes in connection with the Amended 2008 Annual Plan - Humphrey Gardens disposition, Section 8 Homeownership, and Replacement Housing Factor Funding.

In order to generate new sources of revenue, the UMHA is considering leasing a portion of the grounds of the Humphrey Gardens development in North Utica to a private developer. The parcel, which will continue to be owned by the UMHA, will be leased to the developer as part of a long-term ground lease agreement. The parcel would be developed into a commercial use such as a banking or medical office facility with an adjoining parking lot.

A competitive Request for Proposal will be issued to select a developer for the project. The developers must involve public housing residents in the development and operation of the Project. Such involvement may include but is not limited to the development of a community room for resident use, providing residents with an opportunity to apply for construction employment, and construction of other amenities for residents such as a playground.

In 2008, the UMHA was approved for new RHF third increment funding in the amount of \$265,148. The housing authority intends to accumulate funding for the first three years and start construction in the fourth year (2012). In order to generate new revenue for the

housing authority and meet local housing needs, the housing authority intends to develop new mixed financed public housing rental units. The housing authority will seek to leverage non-public housing funds to supplement the RHF funds.

The UMHA seeks to amend its Section 8 administrative plan to enable it to implement the Section 8 Homeownership Voucher Program. We plan to make Homeownership Vouchers available to eligible families who successfully complete training and other program requirements under Homeownership Supportive Services Program. The Section 8 Homeownership Voucher program will also be open to existing Section 8 clients.

Mr. Furman indicated that the following major policy initiatives are proposed in the 2009 Agency Plan:

1. Expanding Entrepreneurial Capacity
2. Public Housing Lease Revision
3. Funding Shortfalls
4. Developing New Affordable Housing
5. UMHA's Green Agenda
6. Revision of Section 8 (Housing Choice) Voucher Administrative Plan
7. Domestic Violence Requirements.

Concerns of Residents:

The following concerns were expressed by the residents:

- 1) Personal safety is the most important concern of residents. There is a need for the security personal to be more visible to tenants. It was suggested that security personal should walk around complexes more, instead of driving their vehicles.
- 2) Work orders need to be completed on a more timely basis.
- 3) Residents suggested that the UMHA hold Monthly Listening Meetings so concerns of residents can be addressed on an on-going basis.
- 4) Residents are concerned that when they call with work orders on the weekend, the problems are not addressed until Monday. It was explained that on weekends only emergencies are handled; all other work orders are held until Monday.

- 5) Residents are concerned that some tenants are allowing unauthorized people into their buildings.
- 6) Residents suggested that each elevator needs to have cameras installed.
- 7) Residents would like to have Neighborhood Watch Meetings.
- 8) Residents are concerned about the safety needs of hearing impaired residents, particularly in case of fire.

It was the consensus of the meeting that the RAB should propose constructive solutions to resident concerns, instead of serving as complaint sessions.

Residents indicated that they will help to recruit additional residents for the next meeting.

**Resident Advisory Board Meeting
2008 Amended Annual Plan/2009 Annual Plan
October 1, 2008, 1:30 P.M.
Municipal Housing Authority Main Office
509 Second Street, Utica**

Minutes

Attendance: Theresa Wild, Linda Mesagna, Carmen Durante, Concetta Caruso, Gwen Dote, Lillian Morasco, Mary Lou Bojdak, Julia Spina, Terry Scheri, Rosemary O'Connor, John Furman, Bridget Rubino

This meeting was called to order at 1:30 PM by John Furman. On behalf of Dr. Herbowy, Mr. Furman thanked all the members of the Resident Advisory Board for attending this meeting.

Mr. Furman reviewed the agenda for the meeting:

1. Review of Last Week's Meeting
2. Next RAB Meeting - Wednesday, October 8, 1:30 p.m.
3. Public Hearing - Wednesday, October 15, 2008, 4:00 p.m.
4. Amended Annual Plan Changes
 - d. Humphrey Gardens Surplus Property Disposition
 - e. Replacement Housing Factor Funding
 - f. Section 8 Homeownership Voucher Program
5. Lease Changes
 - a. Domestic Violence

- b. Community Service Requirements
- 6. ACOP changes
 - a. Fraud Prevention
 - b. Occupancy Guidelines
 - c. Language Access
- 7. Next Week's Meeting
 - a. Annual Plan
 - b. Lease Changes
 - c. Housekeeping Policy
- 8. Comments/Questions

Information regarding the Housing Authority's Amended 2008 as well as the 2009 Annual Plan was distributed to all in attendance.

Mr. Furman provided an overview of the two Annual Plan documents and reviewed the material presented at last week's meeting regarding the Annual Plan development process. Residents asked questions regarding aspects of the Annual Plan in connection with rent determination policies and resident involvement.

Mr. Furman said that he will discuss the three major changes to the 2008 Revised Annual Plan. – the Humphrey Gardens Surplus Property Disposition, Replacement Housing Factor Funding, and the Section 8 Homeownership Voucher Program.

According to Mr. Furman, ongoing federal disinvestment in public housing has made it necessary for the Municipal Housing Authority of the City of Utica, New York to explore new options to finance housing authority operations to ensure that our housing developments which provide homes for about 1,000 Utica households remain viable. In order to generate new sources of revenue, the UMHA is considering leasing a portion of the grounds of the Humphrey Gardens development in North Utica to a private developer. The parcel, which will continue to be owned by the UMHA, will be leased to the developer as part of a long-term ground lease agreement. The parcel would be developed into a commercial use such as a banking or medical office facility with an adjoining parking lot.

A competitive Request for Proposal will be issued to select a developer for the project. The developers must involve public housing residents in the development and operation of the Project. Such involvement may include but is not limited to the development of a community room for resident use, providing residents with an opportunity to apply for construction employment, and construction of other amenities for residents such as a playground.

The goals of this project are the following: 1) Maximize the development potential of the site and create new revenue to support the on-going operations of the UMHA; (2) Improve quality of life for existing public housing residents and the surrounding neighborhood by developing the underutilized site into an attractive commercial use; 3)

Make public-owned land available for economic development and job creation, and, in turn, enhance the City of Utica's community revitalization efforts.

The UMHA is in the process of securing HUD approval for the disposition of the subject vacant development site and the leasing of the site to a developer. Pursuant to 24 CFR 941, HUD must approve the disposition of the portion of any vacant public housing site and the redevelopment of the site to a new use. UMHA has determined that the Humphrey Gardens development includes vacant land that is incidental to, or does not interfere with, the continued operation of the remaining portion of the development. As part of the HUD review process, the UMHA is required to consult with residents of the affected development as well as resident organizations, conduct a Phase One Environmental Site Assessment, amend its Annual Plan, offer the vacant land for sale or lease to residents, secure approval of the project from the City of Utica, and submit an inventory removal/disposition application to HUD.

Residents indicated that it was very important to consult with the Humphrey Gardens tenants in connection with this disposition action. They further stated that this activity will help the housing authority earn additional revenue and should be supported.

Mr. Furman said that in 2008, the UMHA was approved for new RHF third increment funding in the amount of \$265,148. The housing authority intends to accumulate funding for the first three years and start construction in the fourth year (2012). In order to generate new revenue for the housing authority and meet local housing needs, the housing authority intends to develop new mixed finance public housing rental units. The housing authority will seek to leverage non-public housing funds to supplement the RHF funds. A construction loan will be secured to provide short-term financing for the project until all RHF funds are received from HUD. The Housing Authority will be submitting to HUD a development plan for the use of RHF funds.

Mr. Furman indicated that the Municipal Housing Authority of the City of Utica, New York (UMHA) was recently awarded a grant of \$250,000 from the United States Department of Housing and Urban Development to establish the Utica Homeownership Supportive Services (HSS) Program to help residents of our public housing projects to become homeowners.

The UMHA seeks to amend its Section 8 administrative plan to enable it to implement the Section 8 Homeownership Voucher Program. We plan to make Homeownership Vouchers available to eligible families who successfully complete training and other program requirements under Homeownership Supportive Services Program. The Section 8 Homeownership Voucher program will also be open to existing Section 8 clients. The housing authority will be providing a preference for its Section 8 program to enroll these clients into the program. Once clients are awarded the Homeownership voucher, they will be transferred (ported) to the City of Utica or New York State Division of Housing and Community Renewal Section 8 Program which will absorb the cost of providing voucher assistance. This will make it possible for the housing authority to award new vouchers to eligible clients and continue to serve the housing needs of local residents.

Mr. Furman discussed two recent major changes to the UMHA lease - Domestic Violence and Community Service Requirements. In connection with domestic violence, Mr. Furman explained the terms of the lease amendment. This Amendment protects the victim of domestic violence, dating violence or stalking. If this should happen, the victim will need to provide proof that there was domestic violence such as a police report or Doctor report. He said that an incident or incidents of actual or threatened domestic violence, dating violence, or stalking will not be construed as a serious or repeated violation of the lease by the victim or threatened victim of that violence and shall not be good cause for terminating the assistance, tenancy, or occupancy rights of the victim of such violence.

Criminal activity directly relating to domestic violence, dating violence, or stalking, engaged in by a member of a tenant's household or any guest or other person under the tenant's control shall not be cause for termination of assistance, tenancy, or occupancy rights if the tenant or an immediate member of the tenant's family is the victim or threatened victim of that domestic violence, dating violence, or stalking.

If the perpetrator of the domestic violence, dating violence, or stalking is named on the lease, the lease may be terminated with that individual without terminating the occupancy rights for the victim.

Mr. Furman clarified the Community Service requirement which is now part of the UMHA lease. He explained the definitions of Community Service and Self-Sufficiency Activities. He said that every adult living in public housing must complete eight (8) hours per month of either volunteer work or self-sufficiency program activity or a combination of the two except for adults who are exempt for one of the reasons listed below.

The following persons are exempt from this requirement.

- 62 years or older;
- Person with disabilities and certifies that, based on the disability, he or she cannot comply with the requirement;
- Caretakers of a person with disability who has certified that based on the disability, he or she cannot comply the requirement;
- Currently working at least 20 hours per week;
- Certified as exempt from work activities under a State Program as stated by the Social Security Act or any other welfare state program; and
- Members of a family receiving benefits from a State Welfare Program in compliance with the program's requirements.

Mr. Furman discussed three new changes to the ACOP – Fraud Prevention, Occupancy Guidelines, and Language Access. He said that the UMHA is fully committed to combating fraud in its public housing program. The most common causes of fraud are

concealment of income and how many people are in the household. When fraud is discovered, the following action will take place:

- Require the resident to immediately repay the amount in question
- Require the resident to enter into a satisfactory repayment agreement
- Terminate the residents tenancy
- Refer the case for criminal prosecution
- Take such other action as the UMHA deems appropriate

In all cases, if money is owed to UMHA, reasonable efforts will be made to obtain repayment from the resident household.

Remedies to program abuse or fraud were discussed. If it is determined that the family knowingly and or willingly perpetrated the program abuse and/or fraud, UMHA will consider the following:

- The seriousness of the offense
- Dollar amount involved
- Mitigating circumstances related to the disability of a family member
- Length of time the violation has occurred.
- The opportunity or ability of the family or its member to disclose and/or cure, correct or remedy the abuse or fraud.

UMHA recently approved Occupancy Guidelines as part of its ACOP. If a resident is absent from the unit no member of the family can reside in the unit. Families participating in a UMHA housing program may be absent from their unit for a period of no more than 30 consecutive days in a calendar year without notifying the UMHA. It was stated that there is no subletting of any UMHA unit.

Mr. Furman said that the Board of Commissioners is considering including in its ACOP a new policy in connection with Language for Persons with Limited English Proficiency Persons (LEP). Limited English skills can be a barrier to accessing important benefits or services, understanding and exercising important rights, complying with applicable responsibilities, or understanding terms and conditions of occupancy or information provided for the public housing and other affordable housing programs.

Mr. Furman said that the UMHA will take affirmative steps to communicate with people who need services or information in a language other than English. These persons will be referred to as Persons with Limited English Proficiency (LEP).

In order to comply with written-translation obligations, the UMHA will take the following steps:

- If requested, and where reasonable and feasible, the UMHA will attempt to provide written translations of vital documents for each eligible LEP language group that constitutes 5 percent or 1,000 persons, whichever is less, of the

population of persons eligible to be served or likely to be affected or encountered. Translation of other documents, if needed, can be provided orally; or

- If there are fewer than 50 persons in a language group that reaches the 5 percent level, the UMHA will not translate vital written materials, but provides written notice in English and if possible, the primary language of the LEP language group of the right of the LEP person to obtain competent oral interpretation of those written materials

Mr. Furman said that the UMHA would seek volunteers to assist with translation activities. In addition, funding may be available to pay stipends to residents interested in translating for the UMHA. Finally, residents can perform translation work as part of their Community Service requirements.

It was explained to all present that UMHA will provide written translations of vital documents for each eligible language group that constitutes 5% or 1,000 persons, whichever is less, of the population of persons eligible to be served or likely to be affected or encountered. UMHA plans to translate housing authority policies into different languages.

The UMHA is in the process of revising the housing authority Lease. John Furman will provide draft copies at our next meeting.

Suggestion and Comments:

Residents made the following comments:

- All resident memos should be translated in different languages
- All notices, memos and policies should be typed in a larger font.

Resident Advisory Board Meeting
2008 Amended Annual Plan/2009 Annual Plan
October 10, 2008, 1:30 P.M.
Municipal Housing Authority Main Office
509 Second Street, Utica

Minutes

Attendance: Eleanor Wilson, Michelina Sychtys, Mary Gazzille, Gwen Dote, Julia Spina, Linda Mesagna, Concetta Caruso, Rosemary O'Connor, Carmen Durante, Kathy Pople, Mary Lou Bojdak, Theresa Wild, John Furman, Brian Jennings

Ms. Linda Mesagna opened the meeting and welcomed the Resident Advisory Board members. She asked John Furman to review the agenda items for the meeting. Mr. Furman thanked the members for their continuing participation in the RAB. He reminded the members of the RAB that the public hearing in connection with the Amended 2008 and the 2009 Annual Plans will be held on October 15.

Mr. Furman indicated that the meeting will discuss the following topics:

1. Amended ACOP Changes
 - g. Language Access
 - h. Student Status
 - i. Housekeeping
 - j. Mixed Finance
 - k. Community Service
2. Lease Changes
 - c. Process of Amending Lease
 - d. Key Changes
 - e. Schedule of Fees
3. 2008 Amended Plan
4. 2009 Annual Plan

Mr. Furman explained the purpose of the Admissions and Continued Occupancy Policy (ACOP) and the importance of receiving resident input on changes to this important document. He stated that the United States Department of Housing and Urban Development requires that housing authorities periodically revise operating policies to ensure conformity with new federal regulations. He further stated that in order to fully utilize the resources and availability of affordable housing for the residents of the City of Utica, it is necessary to clarify and revise the housing authority's existing policies on resident housekeeping, Community Service Self-Sufficiency Requirement, and Low-Income Housing Tax Credits

Mr. Furman said that United States Department of Housing and Urban Development recently published Guidance to help recipients of federal financial assistance take reasonable steps to meet their regulatory and statutory obligations to ensure that Limited English Proficient persons have meaningful access to HUD funded programs and activities. He said that local housing authorities are required to develop policies to implement this guidance.

Mr. Furman reviewed each of these proposed policies and distributed copies of the ACOP changes to the RAB members.

Mr. Furman discussed improving access to services for persons with limited English proficiency. The UMHA will take affirmative steps to communicate with people who need services or information in a language other than English. These persons will be referred to as Persons with Limited English Proficiency.

It was also discussed that when feasible, the UMHA will train or assess the capacity of its bilingual staff members to be available to act as interpreters and translators. When necessary, the UMHA will standardize documents if there is a predominant LEP language. The UMHA will encourage the use of qualified community volunteers. We will also develop a list of available interpreter resources that can act on behalf of LEP persons within the UMHA service area.

After completing the four-factor analysis and deciding what language assistance services are appropriate, the UMHA shall determine whether it is necessary to develop a written implementation plan to address the specifically identified need of the LEP populations it services.

If the UMHA determines it is appropriate to develop a written LEP plan, the following five steps will be taken:

- Identifying LEP individuals who need language assistance.
- Identifying language assistance measures.
- Training staff.
- Providing notice to LEP persons
- Monitoring and updating the LEP plan and ACOP.

Mr. Furman explained Oral Interpretation and Written Translation portions of the Language Access Policy. The UMHA will analyze the various kinds of oral contacts it has with the public, to assess language needs and decide what reasonable steps should be taken. “Reasonable steps” may not be reasonable where the costs imposed substantially exceed the benefits. Where staff capacity exists, the UMHA will allow staff to act in an oral interpretation role to communicate with LEP persons.

The UMHA will attempt to provide written translations of vital documents for each eligible LEP language group that constitutes 5% or 1,000 persons, whichever is less of the population of persons eligible to be served or likely to be affected or encountered.

Mr. Furman discussed proposed change in the ACOP concerning the Tax Credit/Mixed Finance Units. The UMHA owns and/or manages properties that combine Public Housing, Low Income Housing Tax Credit, HOME, or other federal, state, and local program funding. Each program has a unique set of rules that must be observed in order to maintain compliances with program regulations. The LIHTC program is the primary program and all requirements associated with it must be satisfied before additional requirements related to other programs are observed. For units that combine multiple funding sources, the stricter rules will apply to income eligibility and rent determination.

The HUD Community Service was explained to all in attendance. In order to be eligible for continued occupancy in public housing, each adult family member must either (1) contribute eight hours per month of community service (not including political activities), or (2) participate in an economic self-sufficiency program, or (3) perform eight hours per month of combined activities as previously described unless they are exempt from this requirement.

Mr. Furman stated that the following adult family members of tenant families are exempt from this requirement:

- A. Family members who are 62 or older.
- B. Family members who are blind or disabled as defined under 216(I)(1) or 1614 of the Social Security Act (42 U.S.C. 416(I)(1) and who certifies that because of this disability she or he is unable to comply with the community service requirements.
- C. Family members who are the primary care giver for someone who is blind or disabled as set forth in Paragraph B above.
- D. Family members engaged in work activity as defined in section 407(d) of the Social Security Act, specified below. For community service, work is defined as at least twenty (20) hours per week.

The New Housekeeping Policy was explained to all residents in attendance. The overall standards applicable to all UMHA housing units were discussed. The UMHA residents must comply with the following general standards:

- Air Quality
- Electrical System, Emergency Exits, Garbage & Debris (residents must remove their garbage from their apartments)
- Hazards
- Appliances, Cabinets & countertops
- Infestation (roaches, vermin and/or rodents)
- Outside areas (residents must keep their yards free of debris, trash and or abandoned cars.
- Cleaning (responsibility of the tenant).

Mr. Furman discussed full-time students renting from UMHA or leasing apartments through the Section 8 Program. A full-time student is a person who is attending school or vocational training on a full-time basis. Mr. Furman explained that if the students are not eligible to receive Section 8 or public housing assistance if they fall into certain categories. If a student is enrolled at an institution of higher education, is under the age of 24, is not a veteran, is unmarried and does not have a dependent child, that household and or individual is ineligible for Section 8 assistance. Unless the student is determined

independent from his or her parents, the eligibility of a student seeking Section 8/public housing assistance will be based on both the student and the parents being determined income eligible for Section 8 assistance. If the student is receiving financial help from his/her parents, their income will be included in the student's rent.

Draft copies of the Housing Authority's Amended 2008 Annual and 2009 Annual Plan were distributed to all in attendance.

Mr. Furman provided an overview of the each of the Plans. He reviewed the following general sections of the Annual Plan: Summary of Major Policy Changes, 2009 Initiatives, Housing Needs, Financial Resources, Policies on Eligibility, Selection and Admissions, Rent Determination Polices, Operations and Management Policies, Grievance Procedures, Capital Improvement Needs, Demolition and Disposition, Designation of Housing, Conversions of Public Housing, Homeownership, Community Service Programs, Crime and Safety, Pets, Audits and Asset Management.

Mr. Furman reviewed the major changes included in the 2008 Amended Annual Plan including the Humphrey Gardens disposition, Section 8 Homeownership Program, and the Replacement Housing Factor Program.

Mr. Furman discussed he following new major initiatives of the Housing Authority for 2009:

1. Expanding Entrepreneurial Capacity
2. Public Housing Lease Revision
3. Funding Shortfalls
4. Developing New Affordable Housing
5. UMHA's Green Agenda
6. Revision of Section 8 (Housing Choice) Voucher Administrative Plan
7. Domestic Violence Requirements.

Mr. Furman said that the he Municipal Housing Authority is proposing to make changes to its Lease. The proposed lease will be reorganized and rewritten in plain English; it will incorporate all new provisions of the federal regulations; it will remove all outdated provisions of the old lease; it will present the terms of the agreement between the parties in mutually respectful language; and the responsibilities of the UMHA and the Residents will clearly stated. The grounds for and process of terminating the tenancy will be clearly defined, and made consistent with the applicable federal regulations. Provisions relating to security deposits, parking, repair charges, compliance with housekeeping standards and the authority's Community Service Policy, energy conservation, and accommodation

of persons with disabilities will be included in the lease. As part of the lease amendment process, our repair and service fee schedule will be adjusted to account for increases in costs of providing maintenance services for repairs due to resident damage.

Accordingly, therefore, a draft copy of the lease that the Authority seeks to amend, along with a general description of the changes, will be maintained for inspection at our main office from 8:30 a.m. until 4:30 p.m. weekdays for a period of 30 days from the date of a legal notice to be published in the Observer Dispatch. Copies of the amended lease will also be available at each property management office.

Letters will be sent to residents informing them of the proposed changes and their opportunity to comment on the lease revisions. Residents may submit written comments on the proposed policy amendments directly to the UMHA. The Authority will also hold public hearings to discuss and accept comments on the lease and policy changes under consideration. The public hearings will be open to all interested parties. Participants in the public hearings may present their comments orally or in writing.

At the conclusion of the public hearings, the UMHA Board will consider the lease changes proposed. All changes to the lease that are approved by the Board shall be formally incorporated into a new lease that shall be executed by the Resident and the UMHA at the Resident's next recertification. All changes to UMHA policy shall become effective 30 days after approval by the Board.

He said that the Lease will be revised so it will be simple to understand. The resident will now have to sign a House Keeping Policy as well as revised Maintenance Charge Schedule with updated charges.

Suggestions / Questions:

Residents indicated that they approved the changes to the ACOP and believed that the Annual Plan documents were well prepared and reflected housing authority needs.

Linda Mesagna requested that recycle barrels on each floor should be replaced with better looking barrels. Brian Jennings will explore the possibility of securing new receptacles and will report back to the RAB.

One of the residents asked the following question: If a shade breaks in a UMHA apartment, is the resident responsible for the price of replacing the broken shade? When a shade is broken, the maintenance department will determine if the shade broke from normal use or resident willful damage. If the tenant broke it from misuse, the resident will be responsible for payment of new shade.

Residents from Marino Apartments asked when their apartments will be painted again. Mr. Jennings explained that the next development to be painted will be Marino-Ruggiero. The painting will hopefully take place next year.

Gwen Dote from Marino Ruggiero stated that her bedroom floor is filthy and she is unable to clean the floor. Ms. Dote said that she needs to have the wax removed from floor to clean it. Mr. Jennings indicated that he will follow up on this.

The residents in attendance asked when they would be receiving their interest from their security deposits. Mary Lou conferred with the Finance Office and said that the residents will no longer be receiving interest checks. Instead, the interest will be applied to their security deposit accounts. The financial institution holding the security deposit accounts required this change.

Mr. Furman said that at the next meeting, the new UMHA Lease will be available for all to review and comment.

The next meeting will be:

Wednesday, October 22, 2008
1:30 PM
Perretta Twin Towers Board Room

**October 15, 2008; 4:00 p.m.
2008 Amended Annual Plan Public Hearing**

Minutes

Attendance: UMHA Board members including resident representative on the Board.

Mr. David Williams, UMHA Board Chairperson, called the public hearing to order. Mr. Williams asked for resident comments on the Annual Plan.

Ms. Linda Mesagna, one of the resident members of the UMHA Board of Commissioners and Chairperson of the Resident Advisory Board, indicated that the residents are pleased with how RAB has developed proactive solutions to resident concerns.

Mr. Williams asked for additional public comments. There were none. The public hearing was adjourned.

**October 15, 2008; 4:00 p.m.
2009 Annual Plan Public Hearing**

Minutes

Attendance: UMHA Board members including resident representative on the Board.

Mr. David Williams, UMHA Board Chairperson, called the public hearing to order. Mr. Williams asked for resident comments on the Annual Plan.

Ms. Linda Mesagna said that the RAB carefully reviewed the Annual Plans and was pleased with the resident participation process.

Mr. Williams asked for additional public comments. There were none. The public hearing was adjourned.

Respectfully submitted,

Mary Lou Bojdak/John Furman

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 NY06P00650107		FFY of Grant Approval 2007	
<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>06/30/2008</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)	\$ 50,000.00		\$ 50,000.00	\$ 50,000.00
3	1408 Management Improvements	\$ 168,189.00	\$ 226,364.00	\$ 178,713.67	\$ 68,277.36
4	1410 Administration	\$ 207,773.00		\$ 207,773.00	\$ 207,773.00
5	1411 Audit	\$ -			
6	1415 Liquidated Damages	\$ -		\$ -	
7	1430 Fees and Costs	\$ 50,034.00		\$ -	\$ -
8	1440 Site Acquisition	\$ -		\$ -	\$ -
9	1450 Site Improvement	\$ 78,887.00		\$ 426.55	\$ -
10	1460 Dwelling Structures	\$ 1,338,353.00	\$ 1,280,178.00	\$ 70,595.96	\$ 25,911.67
11	1465 Dwelling Equipment-Nonexpendable	\$ 58,500.00		\$ 668.00	\$ -
12	1470 Nondwelling Structures	\$ 115,000.00		\$ 11,478.29	\$ 2,291.03
13	1475 Nondwelling Equipment	\$ 9,000.00		\$ -	\$ -
14	1485 Demolition	\$ -		\$ -	\$ -
15	1490 Replacement Reserves	\$ -			\$ -
16	1495.1Relocation Costs	\$ 2,000.00		\$ -	\$ -
17	1499 Development Activities	\$ -			
18	1502 Contingency (may not exceed 8% of line 19)	\$ -			
19	Amount of Annual Grant (Sum of lines 2-18)	\$ 2,077,736.00	\$ 1,506,542.00	\$ 519,655.47	\$ 354,253.06
20	Amount of Line 19 Related to LBP Activites	\$ 12,000.00			
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	\$ 226,955.00			
Signature of Executive Director and Date 10/7/2008			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	OPERATIONS							
	HA-WIDE OPERATING EXPENSES							
	NORMALLY PAID BY OPERATING							
	SUBSIDY	1406	8 DEV	50,000.00		50,000.00	50,000.00	COMPLETE
	SUBTOTAL A/C 1406			50,000.00	0.00	50,000.00	50,000.00	
HA-WIDE	MANAGEMENT IMPROVEMENTS							
	A) GRANT WRITER	1408	1	84,551.00		84,551.00	21,961.48	EMPLOYEE HIRED
	B) SYSTEM ADMINISTRATOR		1	76,813.00		76,813.00	30,601.21	EMPLOYEE HIRED
	TRAINING		1	4,000.00	35,000.00	15,714.67	15,714.67	WORK IN PROCESS
	HARDWARE & SOFTWARE		1	2,825.00	30,000.00	1,635.00	0.00	WORK IN PROCESS
	SUBTOTAL A/C 1408			168,189.00	65,000.00	178,713.67	68,277.36	
HA-WIDE	ADMINISTRATION							
	MODERNIZATION & ASSISTANT MOD. COORDINATOR, SR. BOOKKEEPER, SR. TYPIST, EXECUTIVE DIRECTOR W/ BENEFITS	1410	LUMP SUM	207,773.00		207,773.00	207,773.00	EMPLOYEES HIRED
	SUBTOTAL A/C 1410			207,773.00	0.00	207,773.00	207,773.00	

(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 10/7/2008	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)	
HA-WIDE	FEES & COSTS							
	A&E SERVICES AND TESTING	1430	LUMP SUM	50,034.00		0.00	0.00	NO CONTRACT AWARDED
	SUBTOTAL A/C 1430			50,034.00	0.00	0.00	0.00	
	SITE IMPROVEMENTS							
NY06P006002	SEALING OF PARKING LOTS,							
N.D. PETERS MANOR	LANDSCAPING	1450	1 DEV.	10,000.00		0.00	0.00	NO CONTRACT AWARDED
	UNDERGROUND ELECTRIC	1450	1 DEV.	0.00				DELETED
	SITE IMPROVEMENTS	1450	1 DEV.	0.00				DELETED
NY06P006004	SEALING OF PARKING LOTS,							
PERRETTA TWIN TOWERS	LANDSCAPING	1450	1 DEV.	4,000.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006001	SEALING OF PARKING LOTS,	1450	1 DEV.	25,000.00		426.55	0.00	WORK IN PROCESS
ADREAN TERRACE	LANDSCAPING							
NY06P006007	SIDEWALK REPLAC., & SEALING OF	1450	1 DEV.	4,000.00		0.00	0.00	NO CONTRACT AWARDED
MARINO RUGGIERO/ DUPLEXES	PARKING AREAS, LANDSCAPING							

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

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

Signature of Executive Director and Date	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
10/7/2008	

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	SIDEWALK REPLAC., & SEALING OF	1450	1 DEV.	14,078.00		0.00	0.00	NO CONTRACT AWARDED
GILLMORE VILLAGE	PARKING AREAS, LANDSCAPING							
NY06P006010	SIDEWALK REPLAC., & SEALING OF	1450	1 DEV.	10,000.00		0.00	0.00	NO CONTRACT AWARDED
F.X. MATT APARTMENTS	PARKING AREAS, LANDSCAPING							
NY06P006010	SIDEWALK REPLAC., & SEALING OF	1450	1 DEV.	11,809.00		0.00	0.00	NO CONTRACT AWARDED
HUMPHREY GARDENS	PARKING AREAS, LANDSCAPING							
	SUBTOTAL A/C 1450			78,887.00	0.00	426.55	0.00	
	DWELLING STRUCTURES							
NY06P006004	ADMIN. & COMM.ROOM IMPROVE.	1460	1 DEV.	0.00		0.00	0.00	DELETE
PERRETTA TWIN TOWERS	NEW SHOWERVALVE, EXHAUST FAN & TUB WALL	1460	108 APTS.	0.00		0.00	0.00	DELETE
	APARTMENT RENOVATIONS	1460	2 APTS.	17,390.00		1,281.37	0.00	WORK IN PROCESS
	CYCLE PAINTING	1460	19 APTS.	13,038.00		30.35	0.00	WORK IN PROCESS

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

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Signature of Executive Director and Date <p style="text-align: center;">10/7/2008</p>	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)	
NY06P006004 PERRETTA TWIN TOWERS	FLOORING	1460	2 APTS.	6,000.00		0.00	0.00	WORK NOT STARTED
	ABATEMENT & ASBESTOS	1460	2 APTS.	20,000.00		0.00	0.00	WORK NOT STARTED
	WINDOW REPLACEMENT	1460		0.00		0.00	0.00	DELETE
NY06P006007 MARINO RUGGIERO/ DUPLEXES	CYCLE PAINTING	1460	11 APTS.	7,548.00		0.00	0.00	WORK NOT STARTED
	NEW SHOWER VALVE, EXHAUST FAN & TUB SURROUND	1460	5 APTS.	2,847.00		203.77	203.77	WORK IN PROCESS
	APARTMENT RENOVATIONS	1460	1 APTS.	0.00	1,000.00	367.47	158.90	WORK IN PROCESS
NY06P006010 F.X. MATT APARTMENTS	FLOORING	1460	3 APTS.	4,500.00		0.00	0.00	WORK NOT STARTED
	CYCLE PAINTING	1460	1 DEV.	7,548.00		474.25	419.88	WORK IN PROCESS
	ABATEMENT & ABESTOS	1460	3 APTS.	15,000.00		0.00	0.00	WORK NOT STARTED
	NEW SHOWER VALVE, EXHAUST FAN & TUB SURROUND	1460	6 APTS.	11,390.00		69.66	69.66	WORK IN PROCESS
	APARTMENT RENOVATIONS	1460	3 APTS.	54,253.00		6,567.86	3,422.30	WORK IN PROCESS
	PLUMBING-SUPPLY LINES & VALVES	1460	2 BLDGS.	1,000.00		0.00	0.00	WORK NOT STARTED
NY06P006010 HUMPHREY GARDENS	APARTMENT RENOVATIONS	1460	4 APTS.	72,338.00		17,925.56	9,836.07	WORK IN PROCESS
	CYCLE PAINTING	1460	19 APTS.	13,038.00		2,337.35	0.00	WORK IN PROCESS
	TUB VALVES & TUB SURROUNDS	1460	21 APTS.	22,779.00		0.00	0.00	WORK NOT STARTED

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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)	
NY06P006010	REPLACEMENT WINDOWS	1460	1 BLDG.	197,703.00		0.00	0.00	WORK NOT STARTED
HUMPHREY GARDENS	PLUMBING-SUPPLY LINES & VALVES	1460	2 BLDGS.	1,302.00		0.00	0.00	WORK NOT STARTED
	FLOORING	1460	5 APTS.	6,000.00		0.00	0.00	WORK NOT STARTED
	ABATEMENT COST-ASBESTOS&LEAD	1460	5 APTS.	20,000.00		0.00	0.00	WORK IN PROCESS
	ABATEMENT COST-ASBESTOS&LEAD	1460	1 BLDG.	0.00		0.00	0.00	DELETE
	ROOFING, RIDGE VENT REPLACE.	1460	3 BLDGS.	104,795.00		0.00	0.00	WORK NOT STARTED
	CRAWL SPACE LIGHTING	1460	3 BLDGS.	1,000.00		0.00	0.00	WORK NOT STARTED
NY06P006010	APARTMENT RENOVATIONS	1460	7 APTS.	144,676.00		6,519.36	1,171.70	WORK IN PROCESS
GILLMORE VILLAGE	CYCLE PAINTING	1460	34 APTS.	23,332.00		5,155.02	2,813.88	WORK IN PROCESS
	TUB VALVES & TUB SURROUNDS	1460	18 APTS.	17,085.00		1,976.02	0.00	WORK IN PROCESS
	REPLACEMENT WINDOWS	1460	1 BLDG.	0.00		0.00	0.00	DELETE
	PLUMBING-SUPPLY LINES & VALVES	1460	2 BLDGS.	1,000.00	13,600.00	0.00	0.00	WORK NOT STARTED
	FLOORING	1460	8 APTS.	12,000.00		0.00	0.00	WORK NOT STARTED
	ABATEMENT COST-ASBESTOS&LEAD	1460	8 APTS.	40,000.00		0.00	0.00	WORK NOT STARTED
	REMEDIATION-FUEL OIL CONTAMINATED SOIL	1460	1 DEV.	50,000.00		0.00	0.00	WORK NOT STARTED
	ROOFING - RIDGE VENT REPLACE	1460	4 BLDGS.	192,051.00	49,276.00	0.00	0.00	WORK NOT STARTED
	ABATEMENT COST-ASBESTOS&LEAD	1460	1 BLDG.	0.00		0.00	0.00	DELETE
	CRAWL SPACE LIGHTING	1460	4 BLDGS.	1,000.00		0.00	0.00	WORK NOT STARTED
	COMM. BLDG./COMPUTER LAB	1460	1 BLDG.	0.00	69,000.00	0.00	0.00	WORK NOT STARTED

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Signature of Executive Director and Date

10/7/2008

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	CYCLE PAINTING	1460	16 APTS.	10,980.00		16.44	0.00	WORK IN PROCESS
N. D. PETERS MANOR	APARTMENT RENOVATIONS	1460	1 APTS.	0.00	2,000.00	705.25	0.00	DELETE
	CRAWL SPACE LIGHTING	1460	9 BLDGS.	1,000.00		0.00	0.00	WORK NOT STARTED
	TUB VALVES & TUB SURROUNDS	1460	2 APTS.	2,847.00		0.00	0.00	WORK NOT STARTED
	CONCRETE PORCH REPLACEMENT	1460	1 APT.	10,000.00		0.00	0.00	WORK NOT STARTED
NY06P006001	LOCKS	1460	400	17,236.00		0.00	0.00	WORK NOT STARTED
ADREAN TERRACE	APARTMENT RENOVATIONS	1460	9 APTS.	90,422.00		21,163.04	4,876.41	WORK IN PROCESS
	CYCLE PAINTING	1460	35 APTS.	24,018.00		5,803.19	2,939.10	WORK IN PROCESS
	FLOORING	1460	9 APTS.	7,500.00		0.00	0.00	WORK NOT STARTED
	ABATEMENT & ASBESTOS & LEAD	1460	9 APTS.	25,000.00		0.00	0.00	WORK NOT STARTED
	NEW SHOWER VALVE, EXHAUST FAN & TUB SURROUND	1460	10 APTS.	66,737.00		0.00	0.00	WORK NOT STARTED
	PLUMBING SUPPLY LINES & VALV	1460	2 BLDGS.	2,000.00		0.00	0.00	WORK NOT STARTED
				1,280,178.00				
	SUBTOTAL A/C 1460			1,338,353.00	134,876.00	70,595.96	25,911.67	

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Signature of Executive Director and Date 10/7/2008	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 EQUIPMENT							
NY06P006004								
PERRETTA TWIN TOWERS	REPLACE STOVES AND REFRIGERATORS	1465	2 APTS.	2,700.00		0.00	0.00	NO APPLIANCES PURCHASED
NY06P006007								
MARINO RUGGIERO/ DUPLEXES	REPLACE STOVES AND REFRIGERATORS	1465	2 APTS.	1,800.00		0.00	0.00	NO APPLIANCES PURCHASED
NY06P006010								
F.X. MATT APARTMENTS	REPLACE STOVES AND REFRIGERATORS	1465	3 APTS.	5,400.00		0.00	0.00	NO APPLIANCES PURCHASED
NY06P006010								
HUMPHREY GARDENS	REPLACE STOVES AND REFRIGERATORS	1465	16 APTS.	9,900.00		0.00	0.00	NO APPLIANCES PURCHASED
NY06P006010								
GILLMORE VILLAGE	REPLACE STOVES AND REFRIGERATORS	1465	16 APTS.	17,100.00		0.00	0.00	NO APPLIANCES PURCHASED
NY06P006002								
N. D. PETERS MANOR	REPLACE STOVES AND REFRIGERATORS	1465	2 APTS.	3,600.00		0.00	0.00	NO APPLIANCES PURCHASED
NY06P006001								
ADREAN TERRACE	REPLACE STOVES AND REFRIGERATORS	1465	9 APTS.	18,000.00		668.00	0.00	APPLIANCES PURCHASED
	SUBTOTAL A/C 1465			58,500.00	0.00	668.00	0.00	

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Signature of Executive Director and Date 10/7/2008	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)	
NON DWELLING STRUCTURES								
NY006P006001 ADREAN TERRACE	MAINTENANCE SHOP IMPROVEMENT SITE OFFICE & COMM.BLDG.IMPR	1470	BLDG.13 &20 VEGA CENTER	1,000.00 3,000.00		0.00 1,500.00	0.00 0.00	WORK NOT STARTED WORK NOT STARTED
NY06P006010 GILLMORE VILLAGE	TWO STALL GARAGE W/STORAGE SITE OFFICE & COMM.BLDG.IMPR	1470	B BLDG. B BLDG.	35,000.00 1,000.00		0.00 0.00	0.00 0.00	WORK NOT STARTED WORK NOT STARTED
	COMM.BLDG/COMPUTER LAB	1470	1 DEV	30,000.00		0.00	0.00	WORK NOT STARTED
NY06P006010 HUMPHREY GARDENS	MAINTENANCE SHOP IMPROVEMENT SITE OFFICE & COMM.BLDG.IMPR	1470	B BLDG. B BLDG.	30,000.00 1,000.00		2,291.03 0.00	2,291.03 0.00	WORK IN PROCESS WORK NOT STARTED
NY06P006002 N. D. PETERS	COMPUTER LAB & MAINT. SHOP	1470	J BLDG.	3,000.00	1,500.00	0.00	0.00	WORK NOT STARTED
NY06P006010 F.X. MATT	MAINTENANCE SHOP IMPROVEMENT	1470	B BLDG.	1,000.00		0.00	0.00	WORK NOT STARTED
NY06P006004 PERRETTA TWIN TOWERS	ADMIN. & COMM. ROOM IMPROV MAINTENANCE FACILITY IMPROV.	1470	1 BLDG. 1 BLDG.	5,000.00 5,000.00	10,000.00 3,000.00	9,187.26 0.00	0.00 0.00	WORK IN PROCESS
			115,000.00					
	SUBTOTAL A/C 1470			115,000.00	16,000.00	11,478.29	2,291.03	
NON DWELLING EQUIPMENT								
NY06P006010 GILLMORE VILLAGE	TOOLS & EQUIPMENT	1475	MISC	1,500.00		0.00	0.00	NO EQUIPMENT PURCHASED
Signature of Executive Director and Date				Signature of Public Housing Director/Office of Native American Programs Administrator and Date				
10/7/2008								

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	OFFICE FURNITURE AND EQUIPMENT	1475	MISC	2,500.00		0.00	0.00	NO EQUIPMENT PURCHASED
PERRETTA								
TWIN TOWERS								
NY006P006001	TOOLS & EQUIPMENT	1475	MISC	1,500.00		0.00	0.00	NO EQUIPMENT PURCHASED
ADREAN								
TERRACE								
NY06P006010	TOOLS & EQUIPMENT	1475	MISC	1,000.00		0.00	0.00	NO EQUIPMENT PURCHASED
F.X. MATT								
APARTMENTS								
NY06P006010	TOOLS & EQUIPMENT	1475	MISC	1,500.00		0.00	0.00	NO EQUIPMENT PURCHASED
HUMPHREY								
GARDENS								
NY06P006002	TOOLS & EQUIPMENT	1475	MISC	1,000.00		0.00	0.00	NO EQUIPMENT PURCHASED
N. D. PETERS								
MANOR								
	SUBTOTAL A/C 1475			9,000.00	0.00	0.00	0.00	
	RELOCATION COSTS							
NY06P006010	RELOCATION TO ACCOMPLISH	1495	MHA WIDE	400.00		0.00	0.00	NO CONTRACT AWARDED
F.X. MATT	RENOVATIONS AND DEMOLITION							
APARTMENTS								
NY06P006010	RELOCATION TO ACCOMPLISH	1495	MHA WIDE	400.00		0.00	0.00	NO CONTRACT AWARDED
HUMPHREY	RENOVATIONS AND DEMOLITION							
GARDENS								

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Signature of Executive Director and Date <p style="text-align: center;">10/7/2008</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 FY2007

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	9/13/2007			9/12/2011			
NY06P006002 N.D. PETERS	9/13/2007			9/12/2011			
NY06P006004 PERRETTA TOWERS	9/13/2007			9/12/2011			
NY06P006007 MARINO-RUGGIERO/DUPLEXES	9/13/2007			9/12/2011			
NY06P006010 WASHINGTON COURTS	9/13/2007			9/12/2011			
GOLDBAS HOMES	9/13/2007			9/12/2011			
F.X. MATT APARTMENTS	9/13/2007			9/12/2011			
HUMPHREY GARDENS	9/13/2007			9/12/2011			
GILLMORE VILLAGE	9/13/2007			9/12/2011			
MANAGEMENT IMPROVEMENTS	9/13/2007			9/12/2011			
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 10/7/2008				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 NY06P00650106		FFY of Grant Approval 2006	
<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>09/30/2006</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)	\$ 200,000.00		\$ 200,000.00	\$ 200,000.00
3	1408 Management Improvements	\$ 171,956.55		\$ 171,956.55	\$ 171,956.55
4	1410 Administration	\$ 192,568.00		\$ 192,568.00	\$ 192,568.00
5	1411 Audit	\$ -			
6	1415 Liquidated Damages	\$ -		\$ -	
7	1430 Fees and Costs	\$ 52,429.13		\$ 52,429.13	\$ 15,897.21
8	1440 Site Acquisition	\$ -		\$ -	\$ -
9	1450 Site Improvement	\$ 108,928.81		\$ 108,928.81	\$ 108,296.81
10	1460 Dwelling Structures	\$ 1,156,389.85		\$ 1,156,389.85	\$ 957,778.71
11	1465 Dwelling Equipment-Nonexpendable	\$ 28,033.00		\$ 28,033.00	\$ 27,633.00
12	1470 Nondwelling Structures	\$ 61,001.66		\$ 61,001.66	\$ 53,057.66
13	1475 Nondwelling Equipment	\$ 11,270.00		\$ 11,270.00	\$ 11,270.00
14	1485 Demolition	\$ -		\$ -	\$ -
15	1490 Replacement Reserves	\$ -			\$ -
16	1495.1 Relocation 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)	\$ 1,982,577.00	\$ -	\$ 1,982,577.00	\$ 1,738,457.94
20	Amount of Line 19 Related to LBP Activities	\$ 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 10/7/2008		Signature of Public Housing director/Office of Native Programs Administrator and Date.			

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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	200,000.00		200,000.00	200,000.00	COMPLETE
	SUBTOTAL A/C 1406			200,000.00	0.00	200,000.00	200,000.00	
HA-WIDE	<u>MANAGEMENT IMPROVEMENTS</u>							
	A) GRANT WRITER	1408	LUMP SUM	84,551.00		84,551.00	84,551.00	EMPLOYEE HIRED
	B) SYSTEM ADMINISTRATOR		LUMP SUM	76,813.00		76,813.00	76,813.00	EMPLOYEE HIRED
	TRAINING		LUMP SUM	10,592.55		10,592.55	10,592.55	COMPLETED
	SUBTOTAL A/C 1408			171,956.55	0.00	171,956.55	171,956.55	
HA-WIDE	<u>ADMINISTRATION</u>							
	MODERNIZATION & ASSISTANT MOD.							
	COORDINATOR, SR. BOOKKEEPER,							
	SR. TYPIST, EXECUTIVE DIRECTOR							
	W/ BENEFITS	1410	LUMP SUM	192,568.00		192,568.00	192,568.00	EMPLOYEES HIRED
	SUBTOTAL A/C 1410			192,568.00	0.00	192,568.00	192,568.00	

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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	52,429.13		52,429.13	15,897.21	CONTRACT AWARDED
	SUBTOTAL A/C 1430			52,429.13	0.00	52,429.13	15,897.21	
<u>SITE IMPROVEMENTS</u>								
NY06P006002	SEALING OF PARKING LOTS,							
N.D. PETERS MANOR	LANDSCAPING	1450	1 DEV.	0.00		0.00	0.00	DELETE
	UNDERGROUND ELECTRIC	1450	1 DEV.	21,939.87		21,939.87	21,939.87	CONTRACT COMPLETED
	SITE IMPROVEMENTS	1450	1 DEV.	2,911.28		2,911.28	2,911.28	CONTRACT COMPLETED
NY06P006004	SEALING OF PARKING LOTS,							
PERRETTA TWIN TOWERS	LANDSCAPING	1450	1 DEV.	0.00		0.00	0.00	DELETE
NY06P006001	SEALING OF PARKING LOTS,	1450	1 DEV.	7,165.66		7,165.66	7,096.66	CONTRACT AWARDED
ADREAN TERRACE	LANDSCAPING							
NY06P006007	SIDEWALK REPLAC., & SEALING OF	1450	1 DEV.	10,708.00		10,708.00	10,145.00	CONTRACT AWARDED
MARINO RUGGIERO/ DUPLEXES	PARKING AREAS, LANDSCAPING							

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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	SIDEWALK REPLAC., & SEALING OF PARKING AREAS, LANDSCAPING	1450	1 DEV.	28,457.00		28,457.00	28,457.00	CONTRACT COMPLETED
GILLMORE VILLAGE								
NY06P006010	SIDEWALK REPLAC., & SEALING OF PARKING AREAS, LANDSCAPING	1450	1 DEV.	0.00		0.00	0.00	DELETE
F.X. MATT APARTMENTS								
NY06P006010	SIDEWALK REPLAC., & SEALING OF PARKING AREAS, LANDSCAPING	1450	1 DEV.	37,747.00		37,747.00	37,747.00	CONTRACT COMPLETED
HUMPHREY GARDENS								
	SUBTOTAL A/C 1450			108,928.81	0.00	108,928.81	108,296.81	
	DWELLING STRUCTURES							
NY06P006004	ADMIN. & COMM.ROOM IMPROVE.	1460	1 DEV.	0.00		0.00	0.00	DELETE
PERRETTA TWIN TOWERS	NEW SHOWERVALVE, EXHAUST FAN & TUB WALL	1460	108 APTS.	0.00		0.00	0.00	WORK NOT STARTED
	APARTMENT RENOVATIONS	1460	2 APTS.	20,963.54	20,471.11	20,471.11	16,921.34	WORK IN PROCESS
	CYCLE PAINTING	1460	19 APTS.	924.78	1,461.91	1,461.91	1,461.91	COMPLETED

(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 10/7/2008	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)	
NY06P006004 PERRETTA TWIN TOWERS	FLOORING	1460	2 APTS.	0.00		0.00	0.00	WORK NOT STARTED
	ABATEMENT & ASBESTOS	1460	2 APTS.	3,040.00		3,040.00	3,040.00	COMPLETED
	WINDOW REPLACEMENT	1460		10,982.00		10,982.00	10,982.00	COMPLETED
NY06P006007 MARINO RUGGIERO/ DUPLEXES	CYCLE PAINTING	1460	11 APTS.	78.70		78.70	78.70	COMPLETED
	NEW SHOWER VALVE, EXHAUST FAN & TUB SURROUND	1460	5 APTS.	0.00		0.00	0.00	DELETE
	APARTMENT RENOVATIONS	1460	1 APTS.	7,757.88		7,757.88	2,555.98	WORK IN PROCESS
NY06P006010 F.X. MATT APARTMENTS	FLOORING	1460	3 APTS.	0.00		0.00	0.00	DELETE
	CYCLE PAINTING	1460	1 DEV.	13,587.88	17,056.30	17,056.30	16,216.98	WORK IN PROCESS
	ABATEMENT & ABESTOS	1460	3 APTS.	15,315.00		15,315.00	15,315.00	COMOLETE
	NEW SHOWER VALVE, EXHAUST FAN & TUB SURROUND	1460	6 APTS.	549.44		549.44	549.44	COMPLETE
	APARTMENT RENOVATIONS	1460	3 APTS.	128,610.16	125,141.74	125,141.74	124,058.10	WORK IN PROCESS
	PLUMBING-SUPPLY LINES & VALVES	1460	2 BLDGS.	0.00		0.00	0.00	DELETE
NY06P006010 HUMPHREY GARDENS	APARTMENT RENOVATIONS	1460	4 APTS.	100,508.26		100,508.26	97,688.10	WORK IN PROCESS
	CYCLE PAINTING	1460	19 APTS.	12,655.41		12,655.41	12,385.09	WORK IN PROCESS
	TUB VALVES & TUB SURROUNDS	1460	21 APTS.	24,732.83		24,732.83	9,970.06	WORK IN PROCESS

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Signature of Executive Director and Date 10/7/2008	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)	
NY06P006010	REPLACEMENT WINDOWS	1460	1 BLDG.	2,413.42		2,413.42	2,413.42	WORK IN PROCESS
HUMPHREY GARDENS	PLUMBING-SUPPLY LINES & VALVES	1460	2 BLDGS.	0.00		0.00	0.00	DELETE
	FLOORING	1460	5 APTS.	0.00		0.00	0.00	DELETE
	ABATEMENT COST-ASBESTOS&LEAD	1460	5 APTS.	19,099.00		19,099.00	19,099.00	COMPLETE
	ABATEMENT COST-ASBESTOS&LEAD	1460	1 BLDG.	11,940.00		11,940.00	11,940.00	COMOLETE
	ROOFING, RIDGE VENT REPLACE.	1460	3 BLDGS.	134,816.00		134,816.00	134,816.00	COMPLETE
	CRAWL SPACE LIGHTING	1460	3 BLDGS.	0.00		0.00	0.00	DELETE
NY06P006010	APARTMENT RENOVATIONS	1460	7 APTS.	92,198.98	92,067.28	92,067.28	65,074.11	WORK IN PROCESS
GILLMORE VILLAGE	CYCLE PAINTING	1460	34 APTS.	31,426.75	31,558.45	31,558.45	29,899.65	WORK IN PROCESS
	TUB VALVES & TUB SURROUNDS	1460	18 APTS.	13,886.30		13,886.30	12,394.90	WORK IN PROCESS
	REPLACEMENT WINDOWS	1460	1 BLDG.	10,391.68		10,391.68	10,391.68	COMPLETE
	PLUMBING-SUPPLY LINES & VALVES	1460	2 BLDGS.	0.00		0.00	0.00	DELETE
	FLOORING	1460	8 APTS.	0.00		0.00	0.00	DELETE
	ABATEMENT COST-ASBESTOS&LEAD	1460	8 APTS.	28,148.00		28,148.00	28,148.00	COMPLETE
	REMEDICATION-FUEL OIL CONTAMINATED SOIL	1460	1 DEV.	0.00		0.00	0.00	DELETE
	ROOFING - RIDGE VENT REPLACE	1460	4 BLDGS.	258,000.00		258,000.00	129,138.30	WORK IN PROCESS
	ABATEMENT COST-ASBESTOS&LEAD	1460	1 BLDG.	6,175.00		6,175.00	6,175.00	COMPLETE
	CRAWL SPACE LIGHTING	1460	4 BLDGS.	0.00		0.00	0.00	DELETE
	COMM. BLDG./COMPUTER LAB	1460	1 BLDG.	0.00		0.00	0.00	DELETE

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Signature of Executive Director and Date 10/7/2008	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
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**Annual Statement/
Performance and Evaluation**
Part II: Supporting Pages
Capital Fund Program (CFP)

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

Federal FY of Grant: 2006

OMB Approval No. 2577-0157 (Exp. 7/31/95)

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	CYCLE PAINTING	1460	16 APTS.	13,243.67	15,217.94	15,217.94	14,552.30	WORK IN PROCESS
N. D. PETERS								
MANOR	APARTMENT RENOVATIONS	1460	1 APTS.	13,596.88	11,622.61	11,622.61	11,622.61	COMPLETE
	CRAWL SPACE LIGHTING	1460	9 BLDGS.	0.00		0.00	0.00	DELETE
NY06P006001	REPLACE DRAIN LINES	1460	1000LF	0.00		0.00	0.00	DELETE
ADREAN								
TERRACE	APARTMENT RENOVATIONS	1460	9 APTS.	119,471.48	111,353.48	111,353.48	103,634.59	WORK IN PROCESS
	CYCLE PAINTING	1460	35 APTS.	35,098.31	35,053.61	35,053.61	32,359.95	WORK IN PROCESS
	FLOORING	1460	9 APTS.	0.00		0.00	0.00	DELETE
	ABATEMENT & ASBESTOS & LEAD	1460	9 APTS.	20,665.00	28,783.00	28,783.00	28,783.00	COMPLETE
	NEW SHOWER VALVE, EXHAUST FAN & TUB SURROUND	1460	10 APTS.	6,113.50		6,113.50	6,113.50	COMPLETE
	PLUMBING SUPPLY LINES & VALV	1460	2 BLDGS.	0.00		0.00	0.00	DELETE
				1,156,389.85				
	SUBTOTAL A/C 1460			1,156,389.85	489,787.43	1,156,389.85	957,778.71	

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Signature of Executive Director and Date 10/7/2008	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 EQUIPMENT								
NY06P006004								
PERRETTA TWIN TOWERS	REPLACE STOVES AND REFRIGERATORS	1465	2 APTS.	2,474.00		2,474.00	2,474.00	APPLIANCES PURCHASED
NY06P006007								
MARINO RUGGIERO/ DUPLEXES	REPLACE STOVES AND REFRIGERATORS	1465	2 APTS.	0.00		0.00	0.00	NO APPLIANCE OREDED
NY06P006010								
F.X. MATT APARTMENTS	REPLACE STOVES AND REFRIGERATORS	1465	3 APTS.	5,540.00		5,540.00	5,540.00	APPLIANCES PURCHASED
NY06P006010								
HUMPHREY GARDENS	REPLACE STOVES AND REFRIGERATORS	1465	16 APTS.	3,112.00		3,112.00	3,112.00	APPLIANCES PURCHASED
NY06P006010								
GILLMORE VILLAGE	REPLACE STOVES AND REFRIGERATORS	1465	16 APTS.	6,395.00		6,395.00	6,395.00	APPLIANCES PURCHASED
NY06P006002								
N. D. PETERS MANOR	REPLACE STOVES AND REFRIGERATORS	1465	2 APTS.	1,407.00		1,407.00	1,407.00	APPLIANCES PURCHASED
NY06P006001								
ADREAN TERRACE	REPLACE STOVES AND REFRIGERATORS	1465	9 APTS.	9,105.00		9,105.00	8,705.00	APPLIANCES PURCHASED
	SUBTOTAL A/C 1465			28,033.00	0.00	28,033.00	27,633.00	

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Signature of Executive Director and Date 10/7/2008	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)		
	<u>NON DWELLING STRUCTURES</u>								
NY006P006001 ADREAN	MAINTENANCE SHOP IMPROVEMENT	1470	BLDG.13 &20	0.00		0.00	0.00	WORK NOT STARTED	
TERRACE	SITE OFFICE & COMM.BLDG.IMPR	1470	VEGA CENTER	0.00		0.00	0.00	WORK NOT STARTED	
NY06P006010 GILLMORE	MAINTENANCE SHOP IMPROVEMENT	1470	B BLDG.	0.00		0.00	0.00	WORK NOT STARTED	
VILLAGE	SITE OFFICE & COMM.BLDG.IMPR	1470	B BLDG.	0.00		0.00	0.00	WORK NOT STARTED	
NY06P006010 HUMPHREY	MAINTENANCE SHOP IMPROVEMENT	1470	B BLDG.	0.00		0.00	0.00	WORK NOT STARTED	
GARDENS	SITE OFFICE & COMM.BLDG.IMPR	1470	B BLDG.	0.00		0.00	0.00	WORK NOT STARTED	
NY06P006002 N. D. PETERS MANOR	COMPUTER LAB & MAINT. SHOP	1470	J BLDG.	0.00		0.00	0.00	WORK NOT STARTED	
NY06P006010 F.X. MATT APARTMENTS	MAINTENANCE SHOP IMPROVEMENT	1470	B BLDG.	0.00		0.00	0.00	WORK NOT STARTED	
NY06P006004 PERRETTA TWIN TOWERS	ADMIN. & COMM. ROOM IMPROV	1470	1 BLDG.	61,001.66		61,001.66	53,057.66	WORK IN PROCESS	
	SUBTOTAL A/C 1470			61,001.66	0.00	61,001.66	53,057.66		
	<u>NON DWELLING EQUIPMENT</u>								
NY06P006010 GILLMORE VILLAGE	TOOLS & EQUIPMENT	1475	MISC	0.00		0.00	0.00	NO EQUIPMENT PURCHASED	
Signature of Executive Director and Date				10/7/2008		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)	
NY06P006004 PERRETTA TWIN TOWERS	OFFICE FURNITURE AND EQUIPMENT	1475	MISC	11,270.00		11,270.00	11,270.00	EQUIPMENT PURCHASED
NY06P006001 ADREAN TERRACE	TOOLS & EQUIPMENT	1475	MISC	0.00		0.00	0.00	NO EQUIPMENT PURCHASED
NY06P006010 F.X. MATT APARTMENTS	TOOLS & EQUIPMENT	1475	MISC	0.00		0.00	0.00	NO EQUIPMENT PURCHASED
NY06P006010 HUMPHREY GARDENS	TOOLS & EQUIPMENT	1475	MISC	0.00		0.00	0.00	NO EQUIPMENT PURCHASED
NY06P006002 N. D. PETERS MANOR	TOOLS & EQUIPMENT	1475	MISC	0.00		0.00	0.00	NO EQUIPMENT PURCHASED
	SUBTOTAL A/C 1475			11,270.00	0.00	11,270.00	11,270.00	
	RELOCATION COSTS							
NY06P006010 F.X. MATT APARTMENTS	RELOCATION TO ACCOMPLISH RENOVATIONS AND DEMOLITION	1495	MHA WIDE	0.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006010 HUMPHREY GARDENS	RELOCATION TO ACCOMPLISH RENOVATIONS AND DEMOLITION	1495	MHA WIDE	0.00		0.00	0.00	NO CONTRACT AWARDED

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Signature of Executive Director and Date 10/7/2008	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
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**Annual Statement/
 Performance and Evaluation**
 Part II: Supporting Pages
 Capital Fund Program (CFP)

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

Total Actual Cost

OMB Approval No. 2577-0157 (Exp. 7/31/95)

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)	
NY06P006002 N. D. PETERS MANOR	RELOCATION TO ACCOMPLISH RENOVATIONS AND DEMOLITION	1495	MHA WIDE	0.00		0.00	0.00	NO CONTRACT AWARDED
NY06P006010 GILLMORE VILLAGE	RELOCATION TO ACCOMPLISH RENOVATIONS AND DEMOLITION	1495	MHA WIDE	0.00		0.00	0.00	NO CONTRACT AWARDED
NY006P006001 ADREAN TERRACE	RELOCATION TO ACCOMPLISH RENOVATIONS AND DEMOLITION	1495	MHA WIDE	0.00		0.00	0.00	NO CONTRACT AWARDED
	SUBTOTAL A/C 1495			0.00	0.00	0.00	0.00	
	GRAND TOTAL			1,982,577.00	489,787.43	1,982,577.00	1,738,457.94	

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Signature of Executive Director and Date 10/7/2008	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 FY2006

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	7/17/2008		6/30/2008	7/17/2010			
NY06P006002 N.D. PETERS	7/17/2008		6/5/2008	7/17/2010			
NY06P006004 PERRETTA TOWERS	7/17/2008		6/5/2008	7/17/2010			
NY06P006007 MARINO-RUGGIERO/DUPLEXES	7/17/2008		6/30/2008	7/17/2010			
NY06P006010 F.X. MATT APARTMENTS	7/17/2008		6/5/2008	7/17/2010			
HUMPHREY GARDENS	7/17/2008		6/5/2008	7/17/2010			
GILLMORE VILLAGE	7/17/2008		6/30/2008	7/17/2010			
MANAGEMENT IMPROVEMENTS	7/17/2008			7/17/2010			
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 10/7/2008				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 NY06P00650105		FFY of Grant Approval 2005	
<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>06/30/2008</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)	\$ 250,000.00		\$ 250,000.00	\$ 250,000.00
3	1408 Management Improvements	\$ 116,888.00		\$ 116,888.00	\$ 116,888.00
4	1410 Administration	\$ 206,092.00		\$ 206,092.00	\$ 206,092.00
5	1411 Audit	\$ -			
6	1415 Liquidated Damages	\$ -		\$ -	
7	1430 Fees and Costs	\$ 67,042.30		\$ 67,042.30	\$ 39,844.75
8	1440 Site Acquisition	\$ -		\$ -	\$ -
9	1450 Site Improvement	\$ 58,217.00		\$ 58,217.00	\$ 58,217.00
10	1460 Dwelling Structures	\$ 1,346,710.89		\$ 1,346,710.89	\$ 1,311,333.05
11	1465 Dwelling Equipment-Nonexpendable	\$ 15,786.00		\$ 15,786.00	\$ 15,786.00
12	1470 Nondwelling Structures	\$ 185.81		\$ 185.81	\$ 185.81
13	1475 Nondwelling Equipment	\$ -		\$ -	\$ -
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)	\$ 2,060,922.00	\$ -	\$ 2,060,922.00	\$ 1,998,346.61
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 10/3/2008			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

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	250,000.00		250,000.00	250,000.00	COMPLETE
	SUBTOTAL A/C 1406			250,000.00	0.00	250,000.00	250,000.00	
HA-WIDE	MANAGEMENT IMPROVEMENTS							
	A) GRANT WRITER	1408	LUMP SUM	72,000.00		72,000.00	72,000.00	EMPLOYEE HIRED
	B) SYSTEM ADMINISTRATOR		LUMP SUM	42,000.00		42,000.00	42,000.00	EMPLOYEE HIRED
	TRAINING		LUMP SUM	0.00		0.00	0.00	NO CONTRACT AWARDED
	COMPUTER HARDWARE		LUMP SUM	2,888.00		2,888.00	2,888.00	HARDWARE ORDERED
	SUBTOTAL A/C 1409			116,888.00	0.00	116,888.00	116,888.00	
HA-WIDE	ADMINISTRATION							
	MODERNIZATION & ASSISTANT MOD. COORDINATOR, SR. BOOKKEEPER, SR. TYPIST, EXECUTIVE DIRECTOR W/ BENEFITS	1410	LUMP SUM	206,092.00		206,092.00	206,092.00	EMPLOYEES HIRED
	SUBTOTAL A/C 1410			206,092.00	0.00	206,092.00	206,092.00	

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Signature of Executive Director and Date	10/3/2008	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)	
HA-WIDE	FEES & COSTS							
	A&E SERVICES AND TESTING	1430	LUMP SUM	67,042.30		67,042.30	39,844.75	CONTRACT AWARDED
	SUBTOTAL A/C 1430			67,042.30	0.00	67,042.30	39,844.75	
	SITE IMPROVEMENTS							
NY06P006002	SEALING OF PARKING LOTS,							
N.D. PETERS	LANDSCAPING	1450	1 DEV.	15,450.00		15,450.00	15,450.00	COMPLETE
MANOR								
NY06P006004	SEALING OF PARKING LOTS,	1450	1 DEV.	12,474.00		12,474.00	12,474.00	COMPLETE
PERRETTA	LANDSCAPING							
TWIN TOWERS								
NY06P006001	LANDSCAPING	1450	1 DEV.	21,865.00		21,865.00	21,865.00	COMPLETE
ADREAN								
TERRACE								
NY06P006007	SIDEWALK REPLAC., & SEALING OF	1450	1 DEV.	828.00		828.00	828.00	COMPLETE
MARINO	PARKING AREAS, LANDSCAPING							
RUGGIERO/ DUPLICES								

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

Signature of Executive Director and Date	Signature of Public Housing Director/Office of Native American Programs Administrator and Date
10/3/2008	

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)	
NY06P006004 PERRETTA TWIN TOWERS	FLOORING	1460	3 APTS.	4,103.54	3,629.49	3,629.49	3,629.49	WORK IN PROCESS
	ABATEMENT & ASBESTOS	1460	3 APTS.	2,615.30		2,615.30	2,615.30	COMPLETE
	WINDOW REPLACEMENT	1460	1 DEV.	365,387.85		365,387.85	365,278.67	WORK IN PROCESS
NY06P006007 MARINO RUGGIERO/ DUPLEXES	CYCLE PAINTING	1460	5 APTS.	3,567.74		3,567.74	3,255.65	WORK IN PROCESS
	NEW SHOWER VALVE, EXHAUST FAN & TUB SURROUND	1460	2 APTS.	18.93		18.93	18.93	COMPLETE
	APARTMENT RENOVATIONS	1460		20,489.93		20,489.93	17,090.21	WORK IN PROCESS
NY06P006010 F.X. MATT APARTMENTS	FLOORING	1460	3 APTS.	7,476.54	7,991.95	7,991.95	7,991.95	WORK IN PROCESS
	CYCLE PAINTING	1460	1 DEV.	12,600.69		12,600.69	11,287.09	WORK IN PROCESS
	ABATEMENT & ASBESTOS	1460	3 APTS.	30,000.00		30,000.00	30,000.00	COMPLETE
	EXT. PORCH IMPROVEMENT & WROUGHT IRON RAILS	1460	4 PROCHES	0.00		0.00	0.00	DELETE
	NEW SHOWER VALVE, EXHAUST FAN & TUB SURROUND	1460	5 DEV.	3,318.85		3,318.85	3,200.94	WORK IN PROCESS
	APARTMENT RENOVATIONS	1460		25,942.62		25,942.62	22,633.04	WORK IN PROCESS
NY06P006010 HUMPHREY GARDENS	APARTMENT RENOVATIONS	1460	3 APTS.	49,202.97		49,202.97	47,128.25	WORK IN PROCESS
	CYCLE PAINTING	1460	15 APTS.	12,311.52		12,311.52	11,308.51	WORK IN PROCESS
	TUB VALVES & TUB SURROUNDS	1460	15 APTS.	9,513.25		9,513.25	9,010.49	WORK IN PROCESS

(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;">10/3/2008</p>	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)	
NY06P006010	REPLACEMENT WINDOWS	1460	1 BLDG.	14,680.25		14,680.25	14,680.25	COMPLETE
HUMPHREY GARDENS	REPLACE DRAIN LINES	1460	500LF	0.00		0.00	0.00	DELETE
	FLOORING	1460	4 APTS.	8,310.81	8,817.81	8,817.81	8,817.81	WORK IN PROCESS
	ABATEMENT COST-ASBESTOS&LEAD	1460	4 APTS.	17,915.29		17,915.29	17,915.29	COMPLETE
	ABATEMENT COST-ASBESTOS&LEAD	1460	1 DEV.	0.00		0.00	0.00	DELETE
NY06P006010	APARTMENT RENOVATIONS	1460	7 APTS.	97,025.27	97,015.27	97,015.27	90,067.52	WORK IN PROCESS
GILLMORE VILLAGE	CYCLE PAINTING	1460	30 APTS.	21,726.68		21,726.68	19,809.18	WORK IN PROCESS
	TUB VALVES & TUB SURROUNDS	1460	25 APTS.	3,330.68		3,330.68	3,098.29	WORK IN PROCESS
	REPLACEMENT WINDOWS	1460	1 BLDG.	30,133.77	30,143.77	30,143.77	30,143.77	WORK IN PROCESS
	REPLACE DRAIN LINES	1460	500LF	0.00		0.00	0.00	DELETE
	FLOORING	1460	7 APTS.	6,204.27	5,447.01	5,447.01	5,447.01	WORK IN PROCESS
	ABATEMENT COST-ASBESTOS&LEAD	1460	7 APTS.	46,132.65		46,132.65	46,132.65	COMPLETE
	REMEDIATION-FUEL OIL CONTAMINATED SOIL	1460	1 DEV.	0.00		0.00	0.00	DELETE
	APARTMENT RENOVATIONS	1460	4 APTS.	0.00		0.00	0.00	DELETE
	ABATEMENT COST-ASBESTOS&LEAD	1460	1 BLDG.	0.00		0.00	0.00	DELETE
NY06P006002	CYCLE PAINTING	1460	10 APTS.	16,430.32		16,430.32	12,005.00	WORK IN PROCESS
N. D. PETERS MANOR	APARTMENT RENOVATIONS	1460	10 APTS.	6,270.30		6,270.30	5,893.19	WORK IN PROCESS

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Signature of Executive Director and Date

10/3/2008

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 TWIN TOWERS	REPLACE STOVES AND REFRIGERATORS	1465		0.00		0.00	0.00	DELETE
NY06P006007								
MARINO RUGGIERO/ DUPLEXES	REPLACE STOVES AND REFRIGERATORS	1465		0.00		0.00	0.00	DELETE
NY06P006010								
F.X. MATT APARTMENTS	REPLACE STOVES AND REFRIGERATORS	1465	5 APTS.	3,525.00		3,525.00	3,525.00	APPLIANCES PURCHASED
NY06P006010								
HUMPHREY GARDENS	REPLACE STOVES AND REFRIGERATORS	1465	5 APTS.	4,811.00		4,811.00	4,811.00	APPLIANCES PURCHASED
NY06P006010								
GILLMORE VILLAGE	REPLACE STOVES AND REFRIGERATORS	1465	10 APTS.	5,070.00		5,070.00	5,070.00	APPLIANCES PURCHASED
NY06P006002								
N. D. PETERS MANOR	REPLACE STOVES AND REFRIGERATORS	1465		0.00		0.00	0.00	DELETE
NY06P006001								
ADREAN TERRACE	REPLACE STOVES AND REFRIGERATORS	1465	10 APTS.	2,380.00		2,380.00	2,380.00	APPLIANCES PURCHASED
	SUBTOTAL A/C 1465			15,786.00	0.00	15,786.00	15,786.00	

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Signature of Executive Director and Date 10/3/2008	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)	
NON DWELLING STRUCTURES								
NY006P006001 ADREAN TERRACE	MAINTENANCE SHOP IMPROVEMENT SITE OFFICE & COMM.BLDG.IMPR	1470	BLDG.13 &20 VEGA CENTER	0.00		0.00	0.00	DELETE
NY06P006010 GILLMORE VILLAGE	MAINTENANCE SHOP IMPROVEMENT SITE OFFICE & COMM.BLDG.IMPR	1470	B BLDG. B BLDG.	0.00		0.00	0.00	DELETE
NY06P006010 HUMPHREY GARDENS	MAINTENANCE SHOP IMPROVEMENT SITE OFFICE & COMM.BLDG.IMPR	1470	B BLDG. B BLDG.	0.00		0.00	0.00	DELETE
NY06P006002 N. D. PETERS MANOR	MAINTENANCE SHOP IMPROVEMENT COMPUTER LAB	1470	J BLDG.	185.81		185.81	185.81	COMPLETE
NY06P006010 F.X. MATT APARTMENTS	MAINTENANCE SHOP IMPROVEMENT	1470	B BLDG.	0.00		0.00	0.00	DELETE
NY06P006004 PERRETTA TWIN TOWERS	MAINTENANCE SHOP IMPROVEMENT	1470		0.00		0.00	0.00	DELETE
SUBTOTAL A/C 1470				185.81	0.00	185.81	185.81	
NON DWELLING EQUIPMENT								
HA WIDE	OFFICE FURNITURE AND EQUIPMENT	1475	HA WIDE	0.00		0.00	0.00	DELETE
SUBTOTAL A/C 1475				0.00	0.00	0.00	0.00	
Signature of Executive Director and Date					Signature of Public Housing Director/Office of Native American Programs Administrator and Date			
10/3/2008								

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		0.00		0.00	0.00	DELETE
	SUBTOTAL A/C 1495			0.00	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		0.00		0.00	0.00	DELETE
	SUBTOTAL A/C 1499			0.00	0.00	0.00	0.00	
	GRAND TOTAL			2,060,922.00	162,463.04	2,060,922.00	1,998,346.61	
				0.00				

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Signature of Executive Director and Date <p style="text-align: center;">10/3/2008</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 FY2005

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	8/17/2007		6/30/2006	8/17/2009				
NY06P006002 N.D. PETERS	8/17/2007		6/30/2007	8/17/2009				
NY06P006004 PERRETTA TOWERS	8/17/2007		4/28/2007	8/17/2009				
NY06P006007 MARINO-RUGGIERO/DUPLEXES	8/17/2007		6/30/2007	8/17/2009				
NY06P006010 F.X. MATT APARTMENTS	8/17/2007		7/31/2007	8/17/2009				
HUMPHREY GARDENS	8/17/2007		7/12/2007	8/17/2009				
GILLMORE VILLAGE	8/17/2007		7/3/2007	8/17/2009				
MANAGEMENT IMPROVEMENTS	8/17/2007		1/31/2007	8/17/2009		3/9/2007		
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 10/3/2008				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

Annual Statement/Performance and Evaluation Report					
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) part 1: Summary					
PHA Name		Grant Type and Number		Federal FY of Grant	
Municipal Housing Authority of the City of Utica, NY		Capital Fund Program Grant Number : NY06R00650109 Replacement Housing Factor Grant No:		2009	
<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 Improvement Soft Cost				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisitions				
9	1450 Site Improvements				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment-Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserves				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities	\$ 265,148			
19	1502 Contingency				
	Amount of Annual Grant: (Sum of Lines...)	\$ 265,148			
	Amount of line 21 Related to LBP Activities				
	Amount of line 21 Related to Section 504 Compliance				
	Amount of line 21 Related to Security - Soft Cost				
	Amount of line 21 Related to Security - Hard Cost				
	Amount of line 21 Related to Energy Conservation				
	Collateralization Expenses or Debt Services	\$ 265,148			

Attachment O

Municipal Housing Authority of the City of Utica

**Annual Plan
for**

Fiscal Year 01/01/2009 – 12/31/2009

**Statement of Progress in Meeting the
5-Year Plan Mission and Goals
Established for Fiscal Years 2005 through 2009**

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:	Occupancy has continued to improve at our elderly and disabled as well as family developments. Occupancy for federally subsidized housing has remained at 98%-99%. Leasing has been completed in connection with the HOPE VI Mixed Finance developments.
Leverage private or other public funds to create additional housing opportunities:	<p>The HOPE VI Revitalization Grant has developed: 27 tax credit rental units (2004); 49 tax credit/public housing rental units (2005); 33 tax credit/public housing rental units (2006); 19 single family homes (2005 and 2006); 21 single family homes (planned for 2008 and 2009).</p> <p>The Replacement Housing Factor (RHF) has developed: 2 single family homes (2005); 1 single family home (2006); 8 single family homes (2006); and 2 – 4 single family homes (planned for 2008/2008).</p> <p>In 2007, the UMHA acquired a New York State Housing Trust Fund Corporation financed nine unit building to provide housing for special needs populations.</p>

Acquire or build units or developments	In 2008, Rebuild Mohawk Valley, Inc. (the nonprofit affiliate of the UMHA) submitted an application to the Section 811 program to develop rental units targeted to the disabled. The UMHA is exploring the development of additional rental and homeownership units utilizing a combination of funding sources.
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GOAL TWO: IMPROVE THE QUALITY OF ASSISTED HOUSING	
Objective	Progress
Improve public housing management: (PHAS score) 88	UMHA has been designated as a high performer housing authority. The PHAS score has increased from 88 to 92.
Increase customer satisfaction: Site Management operations	Data from the last Resident Satisfaction survey has been reviewed and recommendations are being implemented. Regular meetings of the Resident Advisory Board have been held to solicit resident input and develop positive solutions to resident concerns. New Admissions and Continued Occupancy policies such as fraud prevention, occupancy, housekeeping, student status, domestic violence, community service, and language access have been approved.
Concentrate on efforts to improve specific management functions:	To improve site management, the UMHA board approve assignment of maintenance staff to specific sites effective 2/1/06. Staff has been reorganized to reflect the asset-based model. New software has been installed to enhance waiting list, work orders, and resident screening and eligibility processing.
Renovate or modernize public housing units	The UMHA Force Account crew continues to renovate apartments, remodel bathrooms, and install new windows. Through funding provided by the New York State Energy Research & Development Authority and M&T bank, the UMHA will installing 9 million dollars in new energy conservation and capital improvements.
Demolish or dispose of obsolete public housing:	The Washington Courts and Goldbas Apartments have been demolished and the cleared site has been conveyed to the City of Utica for commercial development. The UMHA is exploring the feasibility of applying for HOPE VI and tax credit funding to modernize its Adrean Terrace, Matt

	Apartments, and N.D. Peters Manor development. In order to generate increased revenue to support housing authority operations, the UMHA is planning to request HUD approval to dispose of surplus property at the Humphrey Gardens development and lease it to a commercial developer.
Provide replacement public housing	The previously occupied 70 units at Washington Courts are being replaced through the HOPE VI project.

GOAL THREE: INCREASE ASSISTED HOUSING CHOICES	
Objective	Progress
Provide voucher mobility counseling	Mobility counseling is an on-going daily activity.
Conduct outreach efforts to potential voucher landlords	Outreach to landlords is on-going.
Increase voucher payment standards	Voucher payment standards will increase only when HUD issues new standards.
Implement public housing or other homeownership programs	The progress in connection with developing homeownership opportunities is reported in the Goal One Section. The Homeownership Supportive Services Program has been implemented to assist public housing residents to become homeowners. The UMHA is planning to develop a homeownership voucher program targeted to public housing residents who have completed self-sufficiency programs. As part of the HOPE VI Project, the UMHA has accessed funding from the City of Utica, New York State Division of Housing and Community Renewal, and the Federal Home Loan Bank of New York to develop homeownership units.

GOAL FOUR: PROVIDE AN IMPROVED LIVING ENVIRONMENT	
Objective	Progress
Implement public housing security improvements: Increase visibility of security personnel at senior/disabled developments	The UMHA continues to provide an extra four hour security shift for the senior/disabled developments. In addition, it is exploring the feasibility of applying for additional funding to enhance security services.

GOAL FIVE: PROMOTE SELF-SUFFICIENCY AND ASSET DEVELOPMENT OF ASSISTED HOUSEHOLDS	
Objective	Progress
Provide or attract supportive services to improve assistance recipients' employability:	The UMHA continues to operate Family Self-Sufficiency as well as ROSS Family/Elderly Programs which are designed to help residents obtain training and employment or maintain independent living. The UMHA is also implementing Neighborhood Network Center programs at the Gillmore Village, N.D. Peters, and HOPE VI development sites.

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 is changing its operations to utilize asset management, project-based accounting and performance budgeting in order to survive worsening subsidy cuts.	The UMHA Board on 1/9/06 approved an asset management plan. The first step, accomplished 2/1/06, was to organize all properties into four groupings and assign maintenance staff accordingly. Since then, the UMHA has created separate income/expense ledgers for each development. In addition, materials inventory has been moved from UMHA's central warehouse to individual warehouses at each site. A tenant relations specialist and a senior maintenance mechanic have been assigned to each of the four property groupings. In October 2007, the UMHA submitted a Stop Loss package to HUD to ensure compliance with HUD asset based management requirements.
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	The UMHA has been designated by HUD as a high performer housing authority.

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 strive to maintain a high Section 8 lease-up rate within current financial constraints of the Voucher	UMHA Section 8 lease-up will remain between 95 to 100% of our financial expenditures provided by HUD. The Section 8 Program will initiate new homeownership voucher and

program.	project-based subsidies programs to increase its lease-up rate.
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.	UMHA has and will continue to attract new landlords to participate in our voucher program, meeting its goal of 10 (ten) new landlords by 6/30/09.

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. The Municipal Housing Authority of the City of Utica shall maintain high performer status under SEMAP for each fiscal year through June 30, 2009.	UMHA has and will continue to maintain its high performer status under SEMAP.

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 continue to deliver timely and high quality maintenance services to the residents.	On January 9, 2006, the UMHA resolved to require that maintenance personnel are responsible to account for all of their time with work orders in compliance with 24 CFR Part 990. Staff training on the work order system has been completed.
2. The Municipal Housing Authority of the City of Utica will continue to maintain an appealing, up to date environment in its developments using available funds	UMHA has received nearly 9 million dollars in funding for new energy conservation and capital improvements. The project is based on energy savings identified in no-cost, comprehensive building energy audits funded by the New York State Energy Research and Development Authority (NYSERDA). The project includes installation of energy recovery ventilation, high efficiency gas furnaces and condensing boilers. UMHA is also insulating attics and replacing incandescent light bulbs with compact fluorescent lamps and older model refrigerators with energy-efficient models.

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

Objective	Progress
1. The Housing Authority will apply for appropriate HUD grants as they become available through the NOFA process.	The UMHA has received funding from HUD to initiate the following new programs: Gilmore Village Neighborhood Network Center, ROSS Elderly, ROSS Family, and Family Self-Sufficiency Program. In 2008, it has applied for new funding from the HUD FSS and Service Coordinator programs.
2. In consideration of current and pending budget cutbacks, strive to maintain appropriate levels of resident programs and services	Grant awards enable the UMHA to continue providing high quality services to its residents. The UMHA will be applying to non-HUD funding sources such as local and state government, corporations, and foundations to diversify its funding base.

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

Objective	Progress
1. The Municipal Housing Authority of the City of Utica shall strive to provide a greater visibility of security personnel at the elderly/disabled housing sites.	The extra shift of Housing Security Officers for the elderly/disabled housing sites has provided greater visibility. In addition, the UMHA will be exploring the feasibility of applying to non-HUD funding sources to enhance security services.