



Fourth Program Year CAPER

Consolidated Annual Performance and Evaluation Report includes Narrative Responses to CAPER questions that CDBG, HOME, HOPWA, and ESG grantees must respond to each year in order to be compliant with the Consolidated Planning Regulations. The Executive Summary narratives are optional.

The grantee must submit an updated Financial Summary Report (PR26).

GENERAL

Executive Summary

This module is optional but encouraged. If you choose to complete it, provide a brief overview that includes major initiatives and highlights that were proposed and executed throughout the first year.

Program year 4 CAPER Executive Summary response:

General Questions

1. Assessment of the one-year goals and objectives:
 - a. Describe the accomplishments in attaining the goals and objectives for the reporting period.
 - b. Provide a breakdown of the CPD formula grant funds spent on grant activities for each goal and objective.
 - c. If applicable, explain why progress was not made towards meeting the goals and objectives.
2. Describe the manner in which the recipient would change its program as a result of its experiences.
3. Affirmatively Furthering Fair Housing:
 - a. Provide a summary of impediments to fair housing choice.
 - b. Identify actions taken to overcome effects of impediments identified.
4. Describe Other Actions in Strategic Plan or Action Plan taken to address obstacles to meeting underserved needs.
5. Leveraging Resources
 - a. Identify progress in obtaining "other" public and private resources to address needs.
 - b. How Federal resources from HUD leveraged other public and private resources.
 - c. How matching requirements were satisfied.

Program year 4 CAPER General Questions response:

1. The City of Albany Community Development Agency (ACDA) has met the goals and objectives set forth in the 2012 Action Plan in accordance with the 2010-2015 Consolidated Plan. The City of Albany has used the funds allocated by the federal government, primarily the Community Development Block Grant and the HOME Investment Partnership Grant to improve the quality of life in its neighborhoods. The City of Albany works to physically improve Albany neighborhoods through the construction and renovation of housing and public facilities, while providing additional opportunities to residents by sponsoring public service, public improvement and job development activities. The breakdown of CPD formula grants may be found in IDIS reports PR01 and PR23. The breakdown of spending corresponds with budgeted items set forth in the 2010 Action Plan. Additional details of accomplishments are outlined in response to requirements in this report and in the attached IDIS reports.

2. The ACDA will continue to refine target block programming in an effort to exact greater neighborhood impact. The ACDA will also continue researching best practice cases throughout the country to develop a performance measurement system that accurately depicts the community benefit of development programs.

3. Comprised of older neighborhoods and more traditional suburban type development heading west, major concentrations of low-income families exist in older neighborhoods in the eastern part of the City. The neighborhoods of Arbor Hill, North Albany, West Hill, Capitol Hill, and the South End are City defined Neighborhood Strategy Areas (NSA's). These contiguous census tract based neighborhoods represent almost 40% of the City's population. 2000 Census data indicates that 65% of the NSA's population is composed of minority residents and over 75% of these residents have incomes less than 80% of the Albany-Schenectady-Troy MFI.

Almost 87% of entitlement funding is invested in the NSA's. The City, through the Albany Community Development Agency, awards roughly 40% of each program year's entitlement award funding to non-profit service providers located in or serving the population of the NSA's. Over 55% of Albany Community Development Agency Housing Rehabilitation and Homeownership program funds are concentrated in the NSA's. In an average program year, over 65% of all rehabilitation funding and over 54% of all homeownership funding benefit low to moderate income minority residents.

The primary barrier to affordable housing choice is a lack of income. With an increase of low-income households in Albany and limited public subsidies, the production of affordable housing is directly related to expanded economic opportunity for low-income residents of Albany. As such, affordable housing initiatives must be combined with a coordinated workforce investment program that enables Albany residents to compete for living wage opportunities. The 2010-2015 Consolidated Plan Anti-Poverty Strategy and Community Development Sections discuss City strategies to expand economic opportunity for low to moderate income residents.

Agency staff are actively engaged in advertising program availability in the target block neighborhood. The ACDA funded 5 non-profit organizations that offer a variety of services to city residents looking to purchase a home. These services include counseling and down-payment assistance.

4. The actions taken to address obstacles to meeting underserved needs have not changed from goals and objectives set forth in the 2010-2015 Consolidated Plan or the 2012 Action Plan.

5. Over this past program year the ACDA has worked diligently to secure other sources of funding and leveraging opportunities. In June of 2009, the ACDA completed a Home Improvement Program in the Neighborhood Strategy Areas, funded by the New York State Affordable Housing Corporation and matched with our funding. The grant was for \$300,000. Over 40 homes were improved. We received another Home Improvement Grant in April 2010 from the NYS Affordable Housing Corporation in the amount of \$300,000. This grant is currently closing out and funded the improvement of 31 homes. ACDA received a new round of funding in 2012 and will begin this grant with the goal of assisting another 30 homes. January 1, 2009 the ACDA began yet another round of EPA LEAD Safe Housing funding in the amount of \$3,000,000. Through this grant 206 housing units were made lead safe. ACDA will continue to apply for lead reduction funding as the housing stock age and level of EBLs within the City still remain at levels that show a high need for lead reduction.

Please refer to ESG and HOME sections for match requirements.

Managing the Process

1. Describe actions taken during the last year to ensure compliance with program and comprehensive planning requirements.

Program year 4 CAPER Managing the Process response:

As designated by the Mayor and authorized by the Common Council of The City of Albany; the Albany Community Development Agency (ACDA) is the Lead Agency responsible for development of the Consolidated Plan. The Agency has administered the Community Development Block Grant (CDBG) for the past 37 Years. The Agency is a public agency operating under the Department of Development and Planning. The governing board of the Agency consists of the Mayor, City Comptroller, City Clerk, President of the Common Council, the City's Corporation Counsel and the Agency Director. Staffing of the ACDA is provided by the Department of Development and Planning (DDP).

Through the Mayor's leadership, the Department of Development and Planning was created to consolidate and more efficiently coordinate the Departments of Economic Development, Housing and Community Development, and City Planning. The Department of Development and Planning provides the staff for the Albany Local Development Corporation (ALDC) and the City of Albany Industrial Development Agency (AIDA). Through the not-for-profit ALDC and the public AIDA, the Department staff is responsible for a comprehensive program of redevelopment initiatives for the City of Albany. The Department of General Services (DGS) is responsible for an extensive range of public services, facilities and improvements. DGS consolidates and coordinates the Departments of Engineering, Sanitation, and Streets.

An essential part of the City's affordable housing efforts rests with The Albany Housing Authority (AHA). The Authority is responsible for the management of 2086 Federal and State assisted public housing units in Albany and the administration of Section 8 housing assistance, serving 1718 Albany households. In full cooperation with the City, the Mayor appoints five of the seven board member's of the Albany Housing Authority. The AHA continues to be an active partner in the Consolidated Plan process.

Compliance with applicable regulations, the Comprehensive Plan and other planning initiatives begins with the formulation of the Action Plan. The main method for determining eligibility and compliance is the RFP process outlined below. This past year the ACDA received 50 RFP applications for funding. We funded 41 out of the 50 proposed programs/projects.

Request for Proposal Process

The Request for Proposal process (RFP) ensures that all proposed activities support initiatives identified in the Consolidated Plan, as well as for compliance with all applicable HUD program regulations. Additionally, the process has been designed to ensure a great amount of information for the public and those groups wishing to participate in the CDBG/HOME/ESG/HOPWA process.

The yearly RFP is a process whereby the subrecipients are both educated about the ACDA’s application process and HUD funding. Proposals are selected through a citizen and in-house review and rating system. Many of the subrecipients are “repeat customers” and are knowledgeable about the program. Those who are new to the process stop in or call Planning and Compliance for assistance with their proposals. The reviewers assess the subrecipients based on past performance (in-house reviewers) and/or community letters of recommendation, quality of program and submissions (including the budget of the entire program and other sources of funding).

Upon award and HUD approval of entitlement funding, a public meeting is held to clarify ACDA expectations for the upcoming funding year as well as answer any questions pertaining to entitlement award funding. Contracts are written with performance goals based on the proposal submissions, budget sheets, and a monthly summary sheet for activities and demographics.

Below is the YR 38 RFP schedule that was followed:

**CONSOLIDATED REQUEST FOR PROPOSALS (RFP)
PROPOSED SCHEDULE FOR PROGRAM YEAR 38**

Publish Legal Advertisement	10/17/11-10/24/11
RFP Available	10/24/11
Deadline for Applications – Wednesday, 12:00 P.M.	11/23/11
Create proposal log and files	11/24/11-11/24/11
Proposal Review	11/28/11-12/8/11
Completed Proposal review forms due to ACDA from Citizen Reviewers	12/8/11
ACDA produces Summary Report	12/13/11
Proposal Review	12/13/11-12/20/11
Send Preliminary Awards Letters	1/25/12
Publish Proposed Statement in Times Union	1/27/12
Public Comments/Appeals Period (15 days)	1/27/12-2/17/12
Public Hearing (Appeals) by Joint ACDA- Common Council Committee at 200 Henry Johnson Blvd.	2/17/12
Appeal Recommendation	2/17/12-2/24/12

Send Action Plan to Common Council	3/3/12
Introduction of Action Plan to Common Council	March 2012
Vote on Action Plan by Common Council	March 2012
Send Award Letters	March 2012
Prepare Environmental Review & Request for Release Notice	Set After Council Votes on Action Plan
Publish Environmental Review & Request for Release of Funds in Times Union	
Public Comment Period on Environmental Review and Release of Funds (15 days)	
Send Action Plan to Mayor for signature	March 2012
Send Action Plan to HUD	By April 15, 2012
Start of Program year 45	June 1, 2012
Receipt of Grant Agreement and Release of Funds	July 2012

Citizen Participation

1. Provide a summary of citizen comments.

The draft CAPER was advertised in the Times Union and copies of the draft were made available for review at ACDA, the Albany Public Library and the Albany Housing Authority. No comments were received during the public comment period.

2. In addition, the performance report provided to citizens must identify the Federal funds made available for furthering the objectives of the Consolidated Plan. For each formula grant program, the grantee shall identify the total amount of funds available (including estimated program income), the total amount of funds committed during the reporting period, the total amount expended during the reporting period, and the geographic distribution and location of expenditures. Jurisdictions are encouraged to include maps in describing the geographic distribution and location of investment (including areas of minority concentration). The geographic distribution and expenditure requirement may also be satisfied by specifying the census tracts where expenditures were concentrated.

*Please note that Citizen Comments and Responses may be included as additional files within the CPMP Tool.

Program year 4 CAPER Citizen Participation response:

The total amount of funds received and committed has not changed from the original budgets set forth in the Action Plan. A complete listing of grant resources and program income (including expenditure amounts) may be found in IDIS reports PR01 and PR23.

Census tracts 1,2,6,7,8, 11,14,21,22,23,25 and 26 are City designated Neighborhood Strategy Area's (NSA). Each NSA meets HUD Low-Mod income area benefit test where over 51% of the area's residents make less than 80% of the of the Albany-Schenectady-Troy MSA median family income. Over 90% of federal resources served residents residing in or funded sub-recipients offering services for residents of this area.

Institutional Structure

1. Describe actions taken during the last year to overcome gaps in institutional structures and enhance coordination.

Program year 4 CAPER Institutional Structure response:

The Albany Community Development Agency is the local administrator of CDBG, HOME and ESG entitlement grant funding. The ACDA contracted with CARES, Inc., a local HOPWA provider, who in turn administered the HOPWA funding with ACDA input.

The Mayor's consolidation of certain City departments has greatly improved the relationship between departments involved with varying facets of community development. Growing collaboration with Albany County is evidenced by the county agreeing to sell foreclosed properties to the City to facilitate neighborhood planning efforts.

Monitoring

1. Describe how and the frequency with which you monitored your activities.
2. Describe the results of your monitoring including any improvements.
3. Self Evaluation
 - a. Describe the effect programs have in solving neighborhood and community problems.
 - b. Describe progress in meeting priority needs and specific objectives and help make community's vision of the future a reality.
 - c. Describe how you provided decent housing and a suitable living environment and expanded economic opportunity principally for low and moderate-income persons.
 - d. Indicate any activities falling behind schedule.
 - e. Describe how activities and strategies made an impact on identified needs.
 - f. Identify indicators that would best describe the results.
 - g. Identify barriers that had a negative impact on fulfilling the strategies and overall vision.
 - h. Identify whether major goals are on target and discuss reasons for those that are not on target.
 - i. Identify any adjustments or improvements to strategies and activities that might meet your needs more effectively.

Program year 4 CAPER Monitoring response:

The Albany Community Development Agency continually monitors the performance of housing and community development activities to assure that they are carried out in accordance with applicable laws and regulations and to ensure that performance goals are achieved. The ACDA employs a full time Compliance Officer to monitor activities. Following is a description of standards and procedures that the Agency used to ensure compliance.

Request for Proposal Process

The Request for Proposal process (RFP) ensures that all proposed activities support initiatives identified in the Consolidated Plan, as well as for compliance with all applicable HUD program regulations. Additionally, the process has been designed to ensure a great amount of information for the public and those groups wishing to participate in the CDBG/HOME/ESG/HOPWA process.

The yearly RFP is a process whereby the subrecipients are both educated about the ACDA's application process and HUD funding. Proposals are selected through a citizen and in-house review and rating system. Many of the subrecipients are "repeat customers" and are knowledgeable about the program. Those who are new to the process stop in or call Planning and Compliance for assistance with their proposals. The reviewers assess the subrecipients based on past performance (in-house reviewers) and/or community letters of recommendation, quality of program and submissions (including the budget of the entire program and other sources of funding).

Upon award and HUD approval of entitlement funding, a public meeting is held to clarify ACDA expectations for the upcoming funding year as well as answer any questions pertaining to entitlement award funding. Contracts are written with performance goals based on the proposal submissions, budget sheets, and a monthly summary sheet for activities and demographics.

Subrecipient Monitoring

Section 85.40(a) of the Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments requires the Agency to monitor the day-to-day operations of subrecipient activities to assure compliance with applicable federal requirements and ensure that performance goals are being achieved.

The goal of subrecipient monitoring is to identify any problems and to recommend corrections in order to reinforce and improve subrecipient performance. The Agency approaches monitoring program activities proposed in the Community Development as an ongoing process, involving continuous subrecipient communication and evaluation. The process involves frequent telephone contacts, written communications, analysis of reports and evaluations, periodic meetings and on-site visits.

Voucher Review and Processing

Payment request vouchers are submitted to the Fiscal Department and a budget sheet is attached which provides information concerning contract dates, award amount, amount expended, etc. The voucher is then reviewed by Compliance, Planning, the Chief Fiscal Officer or designee, the Deputy Director and the Director. When all sign-off, the voucher is returned to Fiscal for payment. During this process, Fiscal and/or Planning and Compliance review back-up documentation for any discrepancies and, if found, immediately contact the subrecipients. Additionally, Planning and Compliance is in daily contact with many subrecipients or potential subrecipients when a). vouchers are incomplete or incorrect, b). there is a need for budget/contract modification, or c). answering questions regarding awards, contracts, regulations, change in personnel (EEO), etc. The contact is through telephone, drop-in, and written communications. Additionally, meetings are scheduled on an as-needed basis. Subrecipients are in a constant state of review for

timeliness, meeting their goals, allowable costs, personnel practices, and their compliance with every other federal regulation which may be applicable, including Davis-Bacon. The Compliance/Fiscal Departments compare reported accomplishments to contractual agreements. If a subrecipient fails to meet contractual benchmarks, their payment request is pro-rated so that the subrecipient is paid for actual accomplishments only.

The Albany Community Development Agency makes annual on-site inspections of contracted programs that utilize CDBG, HOME, ESG, and HOPWA entitlement funds. Agency compliance staff monitors the condition of the facility for adequate operation, and assures the proper maintenance of files with information on clientele served during the program year.

Other program items inspected include adequate signage that indicates the program is operating at the site, current insurance documents, and a drug-free workplace policy. Also, subrecipient program staff is reminded of EEO regulations regarding staffing.

ACDA fiscal staff inspects for certain documents that must be kept on site. They include OMB Circular A-122 (Cost Principles for Non-profit Organizations), employee time sheets, payroll register/journal, annual financial statement, receipts for supplies and equipment purchases, general ledger reports, bank reconciliations, and mileage records.

Housing Compliance

Housing compliance is responsible for monitoring all CDBG and HOME assisted housing cases. Housing compliance maintains a database tracking all in-house and non-profit housing programs. The database is updated monthly with information on the prior months housing activities.

Housing Quality Standards (HQS) inspections are conducted every three years. Period of affordability and rental unit compliance is monitored on an annual basis. Units found to be in violation of compliance requirements are referred to the legal department for further action.

ACDA programming provides for a wide array of services available to Albany's low to moderate income population. These services include social, economic and housing related assistance to improve living conditions in Albany's marginal neighborhoods. Public service programming provides youth related activities such as after school educational programming.

Housing programs work to stabilize neighborhoods through increased homeownership, rehabilitation that extends the life span of existing housing stock and provides alternatives to high cost predatory lenders. Indicators employed to measure neighborhood change include: percent change in homeownership, crime, housing violations, employment and home value.

The largest barrier to meeting stated goals is lack of funding.

Lead-based Paint

1. Describe actions taken during the last year to evaluate and reduce lead-based paint hazards.

Program year 4 CAPER Lead-based Paint response:

Program year 4 CAPER Lead-based Paint response:

The ACDA strategy for identifying eligible privately-owned units in the City of Albany are prioritized as follows:

- EBL Referrals: The Albany County Health Department (ACHD) refers all properties with EBLs to the Agency. ACHD continues to follow-up on EBL properties in cooperation with the ACDA Environmental Services.
- Previous EBL Properties: A property noted having an EBL-history by ACHD is also prioritized to the top of the list of properties.
- Primary Prevention: Over 200 applications are received each year for the Albany Rehabilitation Programs in accord with CDBG and/or Home Regulations. This includes any Lead Awareness referrals made by the NIC's from the target areas of Arbor Hill, Capital Hill, North Albany, South End and West Hill which receive top priority.

HOUSING

Housing Needs

*Please also refer to the Housing Needs Table in the Needs.xls workbook.

1. Describe Actions taken during the last year to foster and maintain affordable housing.

Program year 4 CAPER Housing Needs response:

The City of Albany administered both in-house and subrecipient housing improvement programs to foster and maintain affordable housing.

Albany Community Development Agency Housing Programs

HAP- Home Acquisition Program provides financial assistance to low-income households with annual incomes under 80% of the median and who currently do not own a home to purchase (for purpose of rehabilitation and owner occupancy) a 1 to 4 unit building, condominium or cooperative unit in the City of Albany Neighborhood Strategy Areas.

HOAP- Homeowner's Assistance Program. This program works to increase the supply of standard owner occupied buildings in the City of Albany by providing financial assistance to low-income owner-occupied households with annual incomes under 80% of the area median income. HOAP funds are used for the moderate rehabilitation of owner occupied buildings with 1 to 4 units, or condominium or cooperative units in any size building and rental units in owner occupied 1-4 unit buildings in order to bring the units up to local housing code.

A sub-division of the Homeowner's Assistance Program was introduced during YR 32. This program is called the Senior Rehabilitation Program. Its primary purpose is to rehabilitate senior citizen's homes in the City of Albany. The assistance is provided in the form of a grant up to \$5,000.

LEAD- Lead assistance is integrated with the processing of all applications. First priority is given to Lead Assistance applications received from owners referred by the Albany County Health Dept. The agency has 6 fully furnished relocation sites that can be used during lead work available for a small amount of refundable deposit money.

Below is a listing of programs with how many cases were completed in Program year 48:

Name of Program	# of Completed Cases	\$ Spent
HAP- Home Acquisition Program- Homeownership	13	\$193,700
HOAP- Homeowners Assistance Program- Rehabilitation	12	\$164,398
SRP- Senior Rehab. Program- Rehabilitation	7	\$27,900

NOTES:

- 1) 108 dwelling units received assistance.
- 2) Applicants may apply for multiple combinations of programs.
- 3) HAP cases are restricted to the city's neighborhood strategy areas

Other Housing Programs:

The ACDA also offered neighborhood specific programming in an effort to bolster ongoing neighborhood planning efforts conducted by the department of development and planning and based on competitive grant resources. The agency, in cooperation with the south End Improvement Corp. also administers the HARP program in Albany's South End neighborhood. The HARP program provides grants to assist with the purchase and repair of one and two family homes in the South End. Program funds may also assist current homeowners with repairs to their homes in order to bring the home up to HUD Housing Quality Standards.

The Neighborhood Strategy Area Home Improvement Program (NSAHIP) was funded by a \$300,000 NYS Affordable Housing Corporation grant awarded to the city in 2010. The program is similar to the HOAP program. This program served all Neighborhood Strategy Areas. To date, \$55,149 of these funds have been used to rehabilitate 4 units in the City of Albany.

Neighborhood Improvement Corporations:

The Arbor Hill Development Corporation (AHDC) and South End Improvement Corporation (SEIC), offered outreach programs to target a block of buildings selected by each of the two neighborhood improvement corporations. The beneficiaries of the program were owners of property within the NSAs, local contractors, minority and women owned businesses. Façade and security improvements were performed in conjunction with the Agency's Lead Paint Abatement Program.

Specific Housing Objectives

1. Evaluate progress in meeting specific objective of providing affordable housing, including the number of extremely low-income, low-income, and moderate-income renter and owner households comparing actual accomplishments with proposed goals during the reporting period.

2. Evaluate progress in providing affordable housing that meets the Section 215 definition of affordable housing for rental and owner households comparing actual accomplishments with proposed goals during the reporting period.
3. Describe efforts to address “worst-case” housing needs and housing needs of persons with disabilities.

Program year 4 CAPER Specific Housing Objectives response:

ACDA has met the goals set forth in the Year 38 Action Plan. All rental rehabilitation cases served low-income tenants making less than 60% of the area MFI. All other cases were utilized by applicants making less than 80% of the areas MFI.

All City housing programs meet or exceed Section 215 guidelines. Please refer to Housing Needs question #1 for actual accomplishments

Public Housing Strategy

1. Describe actions taken during the last year to improve public housing and resident initiatives.

Program year 4 CAPER Public Housing Strategy response:

South End Revitalization, Phase 3 – In August 2011, AHA was awarded 9% low-income tax credits and NYS Housing Trust Fund Corporation funds that will be the primary sources for this \$13.2 million, 56-unit project. Construction began in January 2013. Three buildings on Morton Avenue are being rehabilitated and new construction will fill in vacant lots on South Pearl and Broad Streets.

Capital South Campus Center – Funded by a \$4.98 million grant from the U.S. Dept. of Housing and Urban Development, the Campus Center represents Phase 1 of a larger redevelopment plan for Lincoln Square Homes, a 4.5-acre public housing development in the City of Albany's South End, into a mixed-use Neighborhood College with supportive land uses. The 17,000 square foot building will host higher education courses and training and employment services provided by a consortium of over 60 partners. The vision for an educational campus stems from the City of Albany's 2007 *Capital South Plan: SEGway to the Future*, a comprehensive revitalization plan created by a broad cross section of community stakeholders. Construction began in April 2013 and is expected to be completed June 2014.

Academy Lofts – Construction continues on the \$10 million adaptive reuse of St. Joseph's Academy in the heart of Arbor Hill. The project, which includes 22 affordable live/work lofts for artists on the upper floors and a 14,000 square foot arts-oriented business incubator and community center on the first floor, is intended to address the four areas of the Arbor Hill Neighborhood Plan: arts/history/culture, quality of life, housing and economic development. A major piece of the financing was provided from a Restore NY grant obtained through the City of Albany. Construction completion is expected in December 2013.

Ida Yarbrough Lo-rise Redevelopment, Phase 1 – The Authority continues to work with the City of Albany and State of New York to finance and design a more

cost-efficient replacement for the obsolete units at Ida Yarbrough Homes. The \$11 million, 43-unit project will replace approximately 76 existing units. Pending funding, construction is expected to begin by Fall 2013. Phase 2 funding and construction will follow Phase 1.

34 Morton Avenue and 82 Morton Avenue – The Albany Housing Authority completed Phase 1 of the rehabilitation of 34 Morton Avenue, a vacant and abandoned mixed-use structure foreclosed and donated by the County of Albany. The first floor storefront is occupied by AHA’s property management office. Phase 2 rehabilitation of two apartments on the upper floors of 34 Morton Avenue will be expanded to include 3 rehabilitated units at 82 Morton Avenue and will be funded by October 2013 and construction completed by mid-2014.

West Hill – AHA has convened a group of stakeholders on and around Lexington Avenue to discuss the potential for revitalizing that area of West Hill and ways of working together.

Public Housing

Albany Housing Authority or one of its component subsidiaries currently owns and operates **2,213** units of Federal public housing, NYS Assisted public housing, the LIHTC, or market rate rental units in the City of Albany as follows:

Assisted Housing

Robert Whalen Homes	108 units
Steamboat Square High Rises	306 units
Lincoln Square	191 units
Ida Yarbrough Homes	352 units
Steamboat Square Townhomes	44 units
Steamboat Historic Rehabs	31 units
Westview	182 units
Ezra Prentice	176 units
Third Street	3 units
Preston (Quail/Sherman)	4 units
North Albany	134 units
Pieter Schuyler Court	7 units
Nutgrove Apts.	56 units
Townsend Park Apartments -	158 units
Arbor Hill -	77 units
King’s Way -	2 units

Arbor Hill Neighborhood

<u>Stabilization Program</u>	11 units
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Non-PH Tax Credit Units

North Albany	26 units
Capital Woods	135 units
Creighton Storey	128 units
AHA South End LLC	55 units

Private Market Rentals

Nutgrove	36 units
Capital Woods	5 units

Total = 2227 units

AHA serves over 3498 persons representing individuals, elderly/disabled, and minors (under age 18).

The AHA waiting list has over 7120 persons as well. The majority are families with children (66%). The waiting list includes public housing and voucher program.

Housing Choice Voucher Assistance (formerly Section 8)

Albany Housing Authority administers the following:

Project Based Vouchers at Creighton Storey Homes – 64
Project Based Vouchers at DePaul Residence- 47
Project Based Vouchers at Eagle Court and Jared Holt-30
Project Based Vouchers at South Mall Towers-194
Project-Based Vouchers at NSP - 12
Single Room Occupancy at Homeless Action Committee -29
Absorbed Port-Ins - 230
Dewitt Clinton Relocation Vouchers -22
5 year Mainstream Persons with Disabilities -75
Enhanced Vouchers at Capital Green- 56
Homeownership Vouchers-24
VASH Vouchers- 235
Port Outs- 99
Homeless Persons with Disabilities- 125
Housing Choice Vouchers- 1001
Shelter Plus Care Year 4 CARES-5
Shelter Plus Care Year 4 CARES - 57
Shelter Plus Care Albany Housing Coalition- 26
Shelter Plus Care Homeless and Travelers Aid (Mental Health)-23
Shelter Plus Care Catholic Charities and CARES- 29
Shelter Plus Care Albany County Department of Mental Health and Catholic Charities-
6
Shelter Plus Care Altamont Program- 6
Shelter Plus care Albany Housing Coalition-5

Housing Choice Voucher Program Statistics

Total participants: All programs (S8Voucher, Mod Rehab): 2400
Section 8 Voucher Program: 1001

Resident Self-Sufficiency

Albany Housing Authority provides a number of programs and services for residents and Housing Choice Voucher participants that will enable them to become more self-sufficient.

The Elderly Service Coordinator program assists elderly and disabled residents to retain their apartments for as long as possible by assisting residents with essential services that maintain their independent living status. These can include medical, legal, financial, transportation, nutrition, and recreational programs and referrals. The ESC program also provides representation and advocacy on behalf of clients.

THE Center (Technology, Help and Education)

The partnership between CTI (Community Technology Initiative) and the Housing Authority began seven years ago. It began as running open lab hours at 220 Green Street and has developed into a full service center for clients with services at both 200 and 220 Green St. Throughout the past seven years services have been added that address the direct needs of the residents of housing and Section 8 recipients.

The services currently being offered include; full use of the THE Center which includes access to an Employment Counselor, job leads provided up employers, fax machine, copier, computers for email and job searches. In addition to the use of a full service employment center, clients have access to a full time computer class, part time computer class, GED classes, and literacy classes, counseling and therapy sessions, an Employment Counselor, resume writing services and a Work Experience Program in junction with the Hampton Inn.

Community Service Requirement

HUD reinstated the Community Service requirement for all persons living in federal housing who are age 18 to age 61. All persons who are not exempt must complete at least 8 hours of community service or participate in an approved self-sufficiency program each month for the duration of their tenancy. Persons who are 62 or older or who have a disability or handicap that prevents them from complying with the community service mandate or who are exempt for a number of other reasons (working 20+ hours weekly, full time students, etc.) are expected to help in their own communities by volunteering to work with programs and agencies. The intent of the mandate is to promote work through paid employment or unpaid services.

Section 8 Homeownership Program

Albany Housing Authority's Housing Choice Voucher Homeownership Program has been in existence since November 2001. The HCV Home Ownership Program of the Albany Housing Authority ("AHA") permits eligible participants in the Section 8 housing choice voucher program, including participants with portable vouchers and, to Public Housing Residents the option of purchasing a home using the HAP payment to defray some of the cost of the monthly mortgage payment. Participants in AHA's Family Self Sufficiency program with escrow accounts are given priority.

Section 8 home ownership assistance must be used to purchase new or existing single-family homes in the City of Albany, New York. AHA also will permit portability of Section 8 home ownership assistance to another jurisdiction,

provided the receiving jurisdiction operates a Section 8 home ownership program for which the Section 8 home ownership applicant qualifies or authorizes AHA to administer the home ownership assistance in their jurisdiction.

AHA is currently assisting 28 Section 8 homeownership residents with their mortgage payments. AHA is also working with approximately 100 clients at various stages in the home buying to homeownership process.

Youth Programs

The Albany Housing Authority provides space for the operation of a satellite unit of the Boys and Girls Club located at Ida Yarbrough. The club members consist primarily of residents and youths from surrounding neighborhoods. The club works with the youth and their parents to increase educational, recreational and social opportunities and provides an array of self-sufficiency building programs.

The Albany Housing Authority provides space to Urban Arts Experience, Inc. to operate an after school &/or summer teen programs.

Crime Reduction –

AHA continues its special police patrols on a very limited basis in spite of the elimination of the Public Housing Drug Elimination Program, which largely funded the patrols in the past. The patrols are responsible for increased resident awareness and reporting of crime and drugs as well as promoting a perception of security for the public. AHA participates in the Police in Public Housing program where law enforcement officers may live in a public housing apartment for a set rent amount. In return the officers must patrol their site on a regular basis and report any problems.

The Authority has four Police Offices located at various developments.

The Authority has installed 176 video surveillance cameras at all AHA locations. Added two additional Police Officers for the evening shift Friday, Saturday, and Sunday for rotational foot patrols as needed. Reported crime has decreased over the past three years.

Barriers to Affordable Housing

1. Describe actions taken during the last year to eliminate barriers to affordable housing.

CAPER Barriers to Affordable Housing response:

The Albany Community Development Agency offers several down payment and closing cost assistance programs for all income levels. The Home Acquisition Program offers \$14,900 in down payment and closing costs assistance to individuals/families at or below 80% of the HUD median income when purchasing homes in the NSA areas.

In the last year, the ACDA funded 13 Home Acquisition Program (HAP) cases resulting in 13 new homeowners in the City of Albany.

HOME/ American Dream Down Payment Initiative (ADDI)

1. Assessment of Relationship of HOME Funds to Goals and Objectives
 - a. Evaluate progress made toward meeting goals for providing affordable housing using HOME funds, including the number and types of households served.
2. HOME Match Report
 - a. Use HOME Match Report HUD-40107-A to report on match contributions for the period covered by the Consolidated Plan program year.
3. HOME MBE and WBE Report
 - a. Use Part III of HUD Form 40107 to report contracts and subcontracts with Minority Business Enterprises (MBEs) and Women's Business Enterprises (WBEs).
4. Assessments
 - a. Detail results of on-site inspections of rental housing.
 - b. Describe the HOME jurisdiction's affirmative marketing actions.
 - c. Describe outreach to minority and women owned businesses.

HOMELESS

Homeless Needs

1. Identify actions taken to address needs of homeless persons.
2. Identify actions to help homeless persons make the transition to permanent housing and independent living.
3. Identify new Federal resources obtained from Homeless SuperNOFA.

Program year 4 CAPER Homeless Needs response:

The City of Albany has a full continuum of housing and services for homeless individuals (including those who are chronically homeless) and families. However, there are unmet needs that still must be addressed. The Continuum of Care Unmet Need table indicates a need for additional emergency shelter beds (40 for individuals, 100 for families and 10 for unaccompanied youth); a need for additional transitional housing beds (26 for individuals, 40 for families and 18 for unaccompanied youth); and a need for permanent supportive housing beds (125 for individuals and 128 for families). As with most cities in the nation, the lack of safe, affordable permanent housing is the primary cause for homelessness. Other factors that lead to homelessness include mental illness, substance abuse, HIV/AIDS, being victimized by domestic violence, being a veteran, and/or being a runaway or homeless youth.

According to the 2013 Point in Time Count (conducted on January 24) there was an increase in the number of persons in households with children seeking shelter. Agencies reported 254 persons in 83 families living in emergency shelter or motels, up from the previous year with the same number of households, but 188 persons.

The number of families with children in transitional housing decreased from 15 households with 30 persons in 2012 to 11 households with 30 persons.

There was an increase in the number of both individuals and families reported in emergency shelter in the 2013 Point in Time Count compared to the 2012 PIT. However, the number of reported unsheltered persons dropped from 28 in 2012 to 19 in 2013. In addition, there was a decrease in the total number of chronically homeless persons in the City of Albany. In 2012 there were 95 chronically homeless individuals and thirteen chronically homeless families; however the 2013 PIT notes 80 individuals and eight chronically homeless families. Though lower, these numbers continue to indicate the need for additional "low-demand" housing that would allow chronically homeless persons to come in off the street and into housing without having to comply with onerous program requirements.

The City of Albany is participating in a 21 County (12 Continuum of Care) Homeless Management Information System (HMIS) funded partially by City of Albany CDBG funding. The HMIS has begun to provide valuable information about the unduplicated number of homeless individuals and families sheltered by programs within the City of Albany as well as the extent of homelessness according to various demographic groups. Currently, there are 22 Albany agencies with 73 programs entering client information into the HMIS.

Those at risk of becoming homeless include those who have severe housing cost burdens as well as those faced with life challenges such as mental illness, substance abuse, HIV/AIDS, domestic violence, being a veteran, or being a youth who cannot return home to live with his/her family.

2012 Continuum of Care

The City of Albany fully participated in the planning efforts of the Albany County Coalition on Homelessness, the coordinating body for the Continuum of Care planning process. It certified all proposals for consistency with Albany's Consolidated Plan. Albany CoC application received a score well above HUD's funding threshold; entitling the community to funding for all renewal projects, as well as one new project for Continuum of Care Planning. This resulted in an award of \$4,489,644 for homeless housing and service programs within Albany City and County.

The awards were as follows:

Albany County CoC Planning Project CoC	\$53,489
100 Clinton Avenue Apartments	\$102,374
59 Dongan	\$83,929
AC Dept of Mental Health Tenant-based Rental Assistance	\$57,162
Albany County Portion of the Capital Region HMIS	\$33,968
Altamont Program Shelter Plus Care Program	\$57,162
Arvilla House	\$114,274
CARES/Albany Housing Authority Shelter Plus Care	\$544,116
Case Management & Assessment	\$30,541
CCHO SHP N. Main	\$42,979
Domestic Violence Legal Assistance Project	\$33,815
HAC Outreach Van	\$81,310
HAC SRO	\$73,034

HATAS Shelter Plus Care	\$233,158
Hope House, OASAS S+C	\$158,191
Interfaith's Hope Through Housing	\$56,783
Legal Aid Society Homelessness Project	\$36,273
MESH	\$108,538
Operations at 280 Clinton Avenue	\$21,400
PACE	\$61,264
Pathways I	\$319,583
Pathways II	\$203,739
Pathways III	\$159,825
Project Breakfree	\$86,569
Project HELP	\$93,462
Project Independence	\$64,888
Project Strive	\$100,081
PB Rental Assistance for Homeless Persons LivingwithHIV/AIDS (Yr2)	\$47,635
SAIL	\$71,448
Shelter Plus Care Program for Chronically Homeless Veterans 2007	\$69,585
Shelter Plus Care Program for Homeless Veterans with Disabilities	\$266,443
Sheridan Ave Housing Project	\$116,897
Sheridan Ave Housing Project II	\$62,147
St Catherine's Supportive Family Housing Program	\$93,518
St. Peter's Hospital of the City of Albany, OASAS S+C	\$238,462
Tenant-based Rental Assistance for Homeless Persons (Yr7)	\$305,247
Veterans House-Addition	\$43,977
Veterans House-Main	\$64,712
Vista House	\$56,500
Walter Street Residence	\$41,166

NY-503 Total : \$4,489,644

Over the past seven years, the Albany County Continuum of Care has been highly successful in its HUD funding applications. By scoring above the funding threshold in each of the past seven years, the Albany CoC has secured approximately \$3.5 Million in HUD funding for the creation of approximately 120 new homeless housing units, 46 of which are for homeless families with the remaining serving single adults, including those who meet HUD’s definition of chronic homelessness.

Community Support

The City of Albany has played a major role in the Albany County Coalition on Homelessness, the Continuum of Care coordinating body. Staffed by CARES, Inc., the Albany County Coalition on Homelessness meets monthly to monitor existing resources, identify gaps in services, and collaboratively address unmet needs. The Albany County Coalition on Homelessness is comprised of representatives from county and city government, community leaders, service and housing providers, and consumers.

The City of Albany has also played a major role in Albany County’s Ten Year Plan to End Homelessness, which was officially adopted in November of 2005. More than 50 representatives of local government, civic groups, funders, businesses, not-for-profit organizations, and community groups endorsed the Ten Year Plan to End Homelessness.

The City of Albany, working in conjunction with the Albany County Coalition on Homelessness (ACCH), has developed a comprehensive continuum of housing and services for homeless individuals and families. Using Emergency Solution Grant funding as well as funding from the New York State-funded Solutions to End Homelessness Program (STEHP), a very effective homelessness prevention and rapid rehousing strategy has been developed. A variety of outreach methods targeted to specific subpopulations, including homeless veterans, runaway and homeless youth, victims of domestic violence, persons with mental illness, persons with chronic substance abuse problems, and persons living with HIV/AIDS, have been employed. A street outreach program has been created in order to engage chronically homeless adults in services and housing.

In accordance with the Albany County Ten Year Plan to End Homelessness, the City of Albany has worked closely with ACCH in order to create a homeless housing system that moves homeless individuals and families off the street and into permanent housing as rapidly as possible. A continuum of housing programs, including emergency shelter, transitional housing, and permanent supportive housing, is in place. The emergency shelter system consists of shelters for homeless single adults, many of whom are chronically homeless, as well as a large family shelter and works in combination with newly developed rapid rehousing programs funded through both City ESG and State funded STEHP programs. There is also an emergency shelter for victims of domestic violence as well as one for runaway and homeless youth.

While the City of Albany strongly believes in rapid rehousing, it recognizes that for some populations, such as runaway and homeless youth, homeless veterans, persons with mental illness, persons with chronic substance abuse problems, and victims of domestic violence, there is sometimes a need for transitional housing. The purpose of the transitional housing is to provide the intensive support needed for a person who has never lived independently to acquire the skills and resources necessary to do so. For this reason, the City of Albany has a number of transitional housing programs that are targeted to specific populations whose primary purpose is preparation for permanent housing placement.

Since its inception, ACCH has focused on the creation of permanent supportive housing as its major goal. Within the City of Albany, therefore, there is a range of permanent supportive housing programs, including a "low-demand" housing program for chronically homeless persons with histories of substance abuse. It should be noted that many of these programs provide tenant-based rental subsidies for privately owned-apartments within the City, facilitating community development by increasing the money available to private landlords to upgrade their properties and improve the overall quality of the City's housing stock.

In addition to providing a full continuum of housing services for homeless individuals and families, agencies within the City of Albany also provide essential supportive services, including, but not limited to: case management, life skills training, alcohol and substance abuse treatment, mental health treatment, HIV/AIDS related treatment and other health care, educational programming, job training and placement, childcare, transportation, legal services, emergency financial assistance, and linkage to mainstream programs such as Temporary Assistance to Needy Families (TANF), Supplemental Social Security (SSI), Medicaid, Food Stamps, Child Health Plus, Family Health Plus, the Veterans Health Care program, and programs funded under the Workforce Investment Act.

CHRONIC HOMELESSNESS

The City of Albany has made a concentrated effort to eliminate chronic homelessness. The Albany County Coalition on Homelessness has developed a three-pronged strategy for ending chronic homelessness: 1) identification of the needs and characteristics of chronically homeless Albany residents; 2) coordination of efforts within the community to address the needs of persons who are chronically homeless; and 3) development of housing and service resources to address the unique needs of this population.

One of the primary means of collecting information about the needs and characteristics of homeless persons is through the Homeless Management Information System (HMIS). The HMIS includes all providers of housing to homeless persons, and is beginning to track services provided by supportive services providers. High levels of usage and strong data quality have enabled the HMIS to provide significant information about the needs and service utilization patterns of chronically homeless persons.

Albany County Department of Social Services (DSS) facilitates monthly meetings with emergency shelter providers, ESG funded providers that administer prevention and rapid rehousing services and CoC funded providers to explore strategies for engaging and serving the chronically homeless population. DSS has been working closely with the Albany County Department of Mental Health to ascertain and address the needs of the chronically homeless population; most recently with an focus on families. In turn, the Department of Mental Health has been working with other county agencies, local service providers, and law enforcement to devise strategies for serving this population. These efforts have resulted in a greater recognition of the needs of chronically homeless persons and support for alternative strategies for addressing their needs.

The Ten Year Plan to End Homelessness, in which the City of Albany played an integral role, recommended the creation of 60 "low-demand" SRO units for chronically homeless persons. Funding for twenty rental assistance subsidies for this population has already been obtained. Meetings among government agencies and providers continue to be held to discuss systemic changes that are needed to support this population. The meetings have resulted in the development of more effective discharge plans for persons leaving psychiatric facilities, correctional facilities, hospitals, and foster care.

The City of Albany has a number of services in place that are targeted to the chronically homeless population. The Homeless Action Committee (HAC) provides nightly street outreach to chronically homeless persons through its outreach van. It also sponsors a 30-bed Single Room Occupancy low-demand permanent housing program for chronically homeless persons with histories of substance abuse. These services play an integral role in the Continuum of Care. In addition, many other agencies provide transitional and permanent supportive housing services to chronically homeless persons.

HOMELESSNESS PREVENTION

By 2012, the Homelessness Prevention and Rapid Re-Housing Program (HPRP), funded through the American Recovery and Reinvestment Act, prevented

homelessness for at risk-households by providing financial assistance and housing related case management. The City of Albany's allocation of approximately \$1.7 million had given financial assistance to 1,693 persons in 686 households. HPRP proved successful in keeping its targeted demographic stably housed. It is estimated that approximately ninety-four percent of all persons served were discharged from the program with permanent stable housing.

Since the conclusion of HPRP in the fall of 2011, the City of Albany continued to fund additional prevention efforts and strategies through the new Emergency Solutions Grant Program. As previously mentioned, the City of Albany has worked with Albany County Department of Social Services and ACCH to develop a very comprehensive homelessness prevention strategy. Among the components of this strategy are: 1) case management and counseling services to prevent initial or repetitive episodes of homelessness; 2) legal advocacy to assist in eviction prevention and to resolve landlord/tenant disputes; and 3) the provision of short-term financial assistance to pay for rent, mortgage, or utility costs. Extremely low-income and low-income persons are referred for homelessness prevention services by the Department of Social Services, soup kitchens and food pantries, and other agencies that serve impoverished individuals and families.

INSTITUTIONAL STRUCTURE

The City of Albany has worked closely with the Albany County Coalition on Homelessness (ACCH). ACCH is comprised of homeless service providers, veterans' organizations; providers representing persons living with disabilities such as mental illness, chronic substance abuse and/or HIV/AIDS; agencies serving victims of domestic violence; providers of services to homeless and runaway youth; emergency shelters; support service providers; faith-based organizations; City, county, and state governmental agencies; the Albany Housing Authority; housing developers; foundations; local businesses; law enforcement; and formerly homeless persons.

The convener of the Albany County Coalition on Homelessness is CARES, Inc., an agency whose mission is fostering collaboration and coordination among not-for-profit organizations, local communities, state and local government, and the private sector. The Coalition is chaired by a senior staff member from Rehabilitation Support Services (RSS) a long time member of the Coalition. RSS provides housing and supportive services, including employment training and job placement assistance to adults and youth with serious mental illness. The ACCH is currently seeking nominations for the soon to be developed Continuum of Care Board of Directors. The first annual meeting, where a formal vote will be held will take place in September 2013.

The City of Albany worked closely with ACCH in the development of a Ten Year Plan to End Homelessness, which was completed in November of 2005. The City's Community Development staff person was appointed by Albany's Mayor to serve on the Executive Committee of the planning group, as was the City's Director of Youth Services and Workforce Development. Other Executive Committee members included the ACCH Co-Chairs, a professor from the State University of New York at Albany's School of Social Welfare, a representative from Albany County Department of Social Services, a representative from Albany County Mental Health, a staff person from the Town of Colonie's Community Development Department, an Albany police officer, a representative from the Community Foundation for the Capital Region, and a formerly homeless person. The Executive Committee was chaired by the Executive

Director of the Capital District Regional Planning Commission. There was a sixty member Advisory Committee comprised of business leaders, representatives from county and City governments, not-for-profit agencies, faith-based organizations, and other community leaders, all of whom have committed themselves to ending chronic homelessness in the City of Albany by 2012.

The Ten Year Plan is currently being implemented. Accomplishments to date include: the creation of Albany County Housing Trust Fund, creation of a day shelter for chronically homeless persons, obtaining HUD funding for Homelessness Prevention and Rapid-Re-Housing, and the shift to a "housing first" model for homeless families by Albany County Department of Social Services. In 2009, representatives of the Ten Year Plan to End Homelessness Executive Committees and Homeless Services Coalitions in Albany, Rensselaer and Schenectady Counties devoted a significant amount of energy to a public awareness and fundraising campaign built around the designation of November as Homelessness Awareness Month. Activities included a press conference featuring elected officials from each county, along with the Mayor of Albany, and a benefit concert at the Troy Savings Bank Music Hall. These activities are highly successful and continue four years later. Plans for Homelessness Awareness Month 2013 are already well underway with a Press Event being held at the Albany based Addictions Care Center and a Benefit Concert featuring Roseanne Cash.

Specific Homeless Prevention Elements

1. Identify actions taken to prevent homelessness.

Program year 4 CAPER Specific Housing Prevention Elements response:

Please refer to ESG response below

Emergency Shelter Grants (ESG)

1. Identify actions to address emergency shelter and transitional housing needs of homeless individuals and families (including significant subpopulations such as those living on the streets).
2. Assessment of Relationship of ESG Funds to Goals and Objectives
 - a. Evaluate progress made in using ESG funds to address homeless and homeless prevention needs, goals, and specific objectives established in the Consolidated Plan.
 - b. Detail how ESG projects are related to implementation of comprehensive homeless planning strategy, including the number and types of individuals and persons in households served with ESG funds.
3. Matching Resources
 - a. Provide specific sources and amounts of new funding used to meet match as required by 42 USC 11375(a)(1), including cash resources, grants, and staff salaries, as well as in-kind contributions such as the value of a building or lease, donated materials, or volunteer time.
4. State Method of Distribution

- a. States must describe their method of distribution and how it rated and selected its local government agencies and private nonprofit organizations acting as subrecipients.
5. Activity and Beneficiary Data
- a. Completion of attached Emergency Shelter Grant Program Performance Chart or other reports showing ESGP expenditures by type of activity. Also describe any problems in collecting, reporting, and evaluating the reliability of this information.
 - b. Homeless Discharge Coordination
 - i. As part of the government developing and implementing a homeless discharge coordination policy, ESG homeless prevention funds may be used to assist very-low income individuals and families at risk of becoming homeless after being released from publicly funded institutions such as health care facilities, foster care or other youth facilities, or corrections institutions or programs.
 - c. Explain how your government is instituting a homeless discharge coordination policy, and how ESG homeless prevention funds are being used in this effort.

Program year 4 CAPER ESG response:

The ACDA received \$291,290 in Emergency Shelter Grant funds in Year 38. The agency awarded \$269,443 to 11 non-profit service providers; the remaining \$21,847 was utilized for grant administration. The total match for Year 38 is \$269,443; Match documentation is provided by each of the service providers and comes from various sources such as Albany County DSS, Albany County Youth Bureau, United Way, Cash donations, and Troy Savings Bank.

DISCHARGE PLANNING POLICY

The City of Albany has worked closely with Albany County, through its Departments of Social Services, Mental Health, Children, Youth and Families, and the Sheriff's Office/County Correctional Facility, to establish effective procedures for discharge planning from publicly funded systems of care, in order to prevent such discharges from immediately resulting in homelessness. The following represent the major categories of institutions with which such protocols are operational.

a. Psychiatric Facilities

Albany County Department of Mental Health oversees the Community Transitions Team of Homeless and Travelers Aid Society (HATAS), housed at the Capital District Psychiatric Center, and the Discharge Facilitation Unit of Rehabilitation Support Services, Inc., housed on the acute psychiatric inpatient unit of Albany Medical Center. These programs provide short term bridging case management services to those individuals transitioning from inpatient care to outpatient care, supporting individuals' access to and follow-up with recommended and previously arranged treatment, benefits and housing opportunities. In developing and implementing individual discharge plans, these programs link with the Department's Single Points Of Access ("SPOAs") that coordinate, facilitate and monitor access to the hundreds of structured opportunities for supervised mental health housing, mental health case management and urgent clinical care.

In recent years, New York State legislation, including MHL 9.60 for “Assisted Outpatient Treatment”, commonly known as “Kendra’s Law”, has resulted in new initiatives committed to the support and management of individuals with significant histories of serious mental illness, violence, and past difficulties accessing or maintaining connections to necessary mental health supports. Chronically homeless persons who are at risk of harm due to noncompliance with recommended treatment are amongst those targeted under this initiative. In addition to court-ordered treatment plans that include mandatory case management or “care coordination”, these plans routinely include specific recommendations for housing and treatment, to which targeted individuals receive priority access. In addition, through an agreement between the Albany County Departments of Mental Health and Social Services, a State-funded “Medication Grant Program” has been implemented, targeting individuals being discharged from psychiatric inpatient and correctional facilities. Under this program, eligible individuals receive temporary access to psychotropic medications in instances where they have initiated a Medicaid application, but eligibility is not yet established.

Another major enhancement to the services available to those who have historically experienced treatment access barriers, including homelessness and co-occurring mental health disorders, has been the development of the comprehensive community-based treatment model of Assertive Community Treatment (ACT). This evidence-based model provides mobile comprehensive care from social workers, nurses, Certified Alcoholism and Substance Abuse Counselors, and psychiatry, addressing housing, dual disorder treatment, wellness management, vocational planning and other needs. ACT services are available to the program’s clients on a 24 hour, 7 days per week basis. This intensive service is provided to individuals who have historically struggled with maintaining necessary connections to the traditional office-based or segregated systems of service, including individuals with past histories of homelessness. Access to this level of care is managed by the “SPOAs” previously mentioned, with referrals frequently received on individuals being discharged from hospital inpatient and correctional facilities.

b. Albany County Correctional Facility

All inmates at the Albany County Correctional Facility are screened for homelessness, alcohol/substance abuse, mental illness and other special needs, and are provided information regarding services available both within the facility and upon release, through community agencies. Except for instances of court-ordered jail diversion, participation in discharge planning is voluntary on the part of the inmate.

Assistance with discharge plans for the general inmate population is provided by the facility’s Inmate Services Unit. Inmates are contacted approximately 60 days in advance of their anticipated release date regarding concerns and referral needs related to discharge, including, but not limited to treatment linkages, housing, and transportation. Appropriate follow-up, including information, referral and linkage assistance, as well as inmate participation with transition programs, is provided related to those issues identified by the inmate. Inmates in need of temporary benefits upon release are assisted in completing an application for temporary assistance, food stamps, and Medicaid. Applications are forwarded directly by the facility to Albany County Department of Social Services, where they are maintained, pending the individual’s release and the required face-to-face interview.

The facility's Health Services Unit assists with arrangements for discharge to hospitals, nursing homes, and community settings with home care services, for those individuals who exhibit continuing medical treatment needs, physical disability, or other health factors that interfere with performing functions of daily living.

Albany County Mental Health Department assists with discharge planning and linkages for inmates housed on the Mental Health Tier through co-located staff designated to serve as "Transitions Managers", aiding incarcerated individuals as they prepare to return to the community with connections to providers. The system and service resources described in the Psychiatric Facilities section above are also available to persons with mental illness who are being discharged from Albany County Correctional Facility.

A facility-employed Certified Alcoholism and Substance Abuse Counselor (CASAC) assists with discharge planning and linkages for inmates with alcohol/substance abuse treatment needs, including assessment and linkage to inpatient and residential programs, as appropriate. This CASAC coordinates routinely with staff of the Albany County Departments of Social Services and Mental Health regarding discharge plans for inmates requiring temporary assistance and/or Medicaid to support their transition to inpatient, residential and/or outpatient treatment involvements.

c. New York State Correctional Facilities

The Facility Parole staff initiates discharge planning with inmates of State correctional facilities approximately 45-60 days prior to their release date. Housing, specialized treatment needs and employment are the highest priority goals addressed in this process. Available housing options are explored, with emphasis placed upon the identification of relatives or other individuals who can provide suitable housing, or who can make housing arrangements on behalf of the inmate. Full consideration is also provided to any special treatment needs demonstrated by the inmate and the related availability at discharge of treatment and residential placement options.

For inmates with mental health needs, NYS Office of Mental Health discharge facilitators placed within the facilities coordinate with Albany County Department of Mental Health in developing appropriate discharge plans. In addition, they assist the inmate in completion of applications for the Medication Grant Program and Medicaid, as described above, in order to ensure access to psychotropic medications at discharge. Representatives of the Regional Parole Office and Albany County Mental Health Department meet every six weeks to develop and review discharge plans for those individuals who will require mental health services upon release. An increasing number of elderly are included amongst inmates being discharged from State correctional facilities. Discharge planning for these individuals frequently includes arrangements for placement in nursing homes, adult homes, senior housing sites, and/or community housing with home care services.

Inmates with significant medical problems are generally placed at a Correctional Facility that has a Regional Medical Unit (RMU) that provides the appropriate medical staff, equipment, and treatment to meet their needs. The medical staff continually monitors and evaluate the inmate's medical needs and level of care in an effort to coordinate the appropriate level of services upon release. Medical staff, facility parole staff, field parole staff, and parole Regional Program Services staff collaborate to develop an appropriate placement prior to the inmate's release. New York State

has recently passed legislation to facilitate more rapid enrollment in Medicaid for those leaving correctional facilities, ensuring that there is no gap in health care services upon leaving the facility. In many cases, this includes a hospital or nursing home admission. Parole's Regional Program Services staff routinely advises Homeless and Travelers Aid (HATAS) Emergency Services staff of individuals who have special needs and are homeless who are returning to Albany County from state custody. The HATAS Prison/Jail Release Form is completed and faxed prior to the individual's release from state custody. This form identifies any special medical and mental health needs, medications, and legal issues that may preclude placement in certain housing locations.

d. Hospitals

Hospital staff routinely screens individuals for their anticipated place of residence at discharge. Individuals who require placement directly from the hospital to other inpatient and/or residential settings, including but not limited to nursing homes, rehabilitation facilities, alcohol/substance abuse and mental health treatment programs, are assisted to make such linkages. Individuals who are uncooperative with such efforts and potentially at risk of harm are assessed for competency and considered for court interventions and/or referred to Protective Services for Adults.

e. Foster Care

Albany County Department for Children, Youth and Families (DCYF) provides discharge planning and after-care services to youth who are aging out of the foster care system. Under federal and State law, youth with a permanency planning goal of independent living are entitled to receive supervision services until age 21, including referral assistance and follow-up to financial, housing, counseling, employment, education and other appropriate services that will enhance self-sufficiency. Ninety days prior to discharge, a plan is developed for each youth, including how the youth will support him/herself, where he/she will reside, and how he/she will obtain medical care. Youth are fully engaged in planning prior to actual discharge, in order to ensure their maximum benefit from offered services. Currently, an Albany County DCYF Caseworker provides support and supervision services to these youth.

COMMUNITY DEVELOPMENT

Community Development

*Please also refer to the Community Development Table in the Needs.xls workbook.

Program year 4 CAPER Community Development response:

1. Assessment of Relationship of CDBG Funds to Goals and Objectives
 - a. Assess use of CDBG funds in relation to the priorities, needs, goals, and specific objectives in the Consolidated Plan, particularly the highest priority activities.

CDBG goals as outlined in the Action Plan have been satisfied.

- b. Evaluate progress made toward meeting goals for providing affordable housing using CDBG funds, including the number and types of households served.

Please refer to Housing Needs Section

- c. Indicate the extent to which CDBG funds were used for activities that benefited extremely low-income, low-income, and moderate-income persons.

Please refer to project sheets as well as IDIS reports

2. Changes in Program Objectives
 - a. Identify the nature of and the reasons for any changes in program objectives and how the jurisdiction would change its program as a result of its experiences.

The ACDA did not change priorities or program objectives in YR. 38

3. Assessment of Efforts in Carrying Out Planned Actions
 - a. Indicate how grantee pursued all resources indicated in the Consolidated Plan.
 - b. Indicate how grantee provided certifications of consistency in a fair and impartial manner.
 - c. Indicate how grantee did not hinder Consolidated Plan implementation by action or willful inaction.

The City of Albany pursues and applies for the maximum amount of eligible resources. Other resources include the New York State Affordable Housing Corporation, NYS Department of Housing and Community Renewal, EPA/NYS Brownfields and U.S. HUD Lead Hazard Reduction funding, NYS Department of Environmental Conservation.

The city does not fund activities that are not included in the Consolidated Plan. Certifications of consistency are reviewed against the contents of the consolidated plan. Activities consistent with the goals and objectives stated in the Consolidated Plan are approved.

4. For Funds Not Used for National Objectives

- a. Indicate how use of CDBG funds did not meet national objectives.
- b. Indicate how did not comply with overall benefit certification.

With the exception of administrative costs per regulation, all CDBG funds were used to meet a National Objective.

5. Anti-displacement and Relocation – for activities that involve acquisition, rehabilitation or demolition of occupied real property
 - a. Describe steps actually taken to minimize the amount of displacement resulting from the CDBG-assisted activities.
 - b. Describe steps taken to identify households, businesses, farms or nonprofit organizations who occupied properties subject to the Uniform Relocation Act or Section 104(d) of the Housing and Community Development Act of 1974, as amended, and whether or not they were displaced, and the nature of their needs and preferences.
 - c. Describe steps taken to ensure the timely issuance of information notices to displaced households, businesses, farms, or nonprofit organizations.

The City did not fund any CDBG-assisted activities that displaced or relocated any individuals or families in YR.36. The City’s relocation policy may be found in the Citizen Participation plan above.

6. Low/Mod Job Activities – for economic development activities undertaken where jobs were made available but not taken by low- or moderate-income persons
 - a. Describe actions taken by grantee and businesses to ensure first consideration was or will be given to low/mod persons.
 - b. List by job title of all the permanent jobs created/retained and those that were made available to low/mod persons.
 - c. If any of jobs claimed as being available to low/mod persons require special skill, work experience, or education, provide a description of steps being taken or that will be taken to provide such skills, experience, or education.

Not applicable

7. Low/Mod Limited Clientele Activities – for activities not falling within one of the categories of presumed limited clientele low and moderate income benefit
 - a. Describe how the nature, location, or other information demonstrates the activities benefit a limited clientele at least 51% of whom are low- and moderate-income.

ACDA housing programs and the majority of public service activities determine income eligibility at the service point of contact. Public infrastructure and facility projects meet HUD’s LMA test. As discussed above, the city’s Neighborhood Strategy Areas are census tracts where over 51% of the population makes less than 80% of the city’s median family income.

8. Program income received
 - a. Detail the amount of program income reported that was returned to each individual revolving fund, e.g., housing rehabilitation, economic development, or other type of revolving fund.
 - b. Detail the amount repaid on each float-funded activity.

- c. Detail all other loan repayments broken down by the categories of housing rehabilitation, economic development, or other.
- d. Detail the amount of income received from the sale of property by parcel.

The ACDA uses prior year program income revenue to estimate program income for the following year. Program income is included with the amount of the CDBG and HOME award and is distributed equally among all funded activities. Program income for Year 38 is detailed in the attached IDIS spreadsheets.

- (b) not applicable
- (c) Housing Rehabilitation loan repayments: \$23,623.32
- (d) Properties Sold: none

9. Prior period adjustments – where reimbursement was made this reporting period for expenditures (made in previous reporting periods) that have been disallowed, provide the following information:
- a. The activity name and number as shown in IDIS;
 - b. The program year(s) in which the expenditure(s) for the disallowed activity(ies) was reported;
 - c. The amount returned to line-of-credit or program account; and
 - d. Total amount to be reimbursed and the time period over which the reimbursement is to be made, if the reimbursement is made with multi-year payments.

Adjustments made during the reporting period may be found in the attached IDIS report number 26.

Albany Community Development Agency (City of Albany)
CAPER Financial Summary (PR26)
Narrative Regarding Adjustments for Program year 4010

Albany Community Development Agency (City of Albany)
CAPER Financial Summary (PR26)
Narrative Regarding Adjustments for Program year 4011

Part I, Adjustment to Compute Total Available, Line 07:

The \$10,797.42 represents program income received by Capitalize Albany as originally funded through CDBG and not recorded in IDIS.

Part II, Adjustment to Compute total Amount Subject to Low/Mod Benefit, Line 10:

This amount represents accrued expenditures for Program year 4012 for non-planning and administrative costs that need to be reflected in the CAPER report as they are not processed at the time of the preparation of the PR26.

Part II, Adjustment to Compute Total Expenditures, Line 14:

This amount represents accrued expenditures for Program year 4012 for planning and administration costs that need to be reflected in the CAPER report as they are not processed at the time of the preparation of the PR26.

Part III, Lowmod Benefit This Reporting Period, Line 20:

The adjustment includes the \$126,291.69 reported on Line 10 as all accrued non-planning and administration costs have a low/mod benefit.

Part IV, Public Service Cap Calculations, Line 30:

The adjustment includes a \$17,631 reduction for items coded with matrix code 05, the public service matrix code, that are NRA's and thus excludable from the cap calculation. This is offset by a \$15,917.52 adjustment for the portion of accrued expenses as reported on Line 10 that or for public service purposes and thus need to be included in the cap calculation.

Part IV, Public Service Cap Calculations, Line 34:

The \$10,797.42 is as reported on Line 07 for program income not yet recorded in IDIS. This amount increases the amount of overall funds subject to the public service cap calculation.

Part V: Planning and Administration (PA) Cap, Line 40:

The adjustment is the same as that reported on Line 14 for accrued planning and administration expenses.

Part V, Planning and Administration (PA) Cap, Line 44:

The \$10,797.42 is as reported on Line 07 for program income not yet recorded in IDIS. This amount increases the amount of overall funds subject to the planning and administration cap..

Antipoverty Strategy

1. Describe actions taken during the last year to reduce the number of persons living below the poverty level.

Albany's goal is the continued and substantial reduction of the rate and incidence of poverty and employment in the City through an expanded network of education, training, other supportive services, and economic opportunity initiatives.

According to 2000 Census data the rate of poverty in Albany is 21 percent. The New York State Department of Labor notes that 7.5% of City residents were unemployed in 2010. Low education and skill levels among a range of ages of City residents, coupled with a high rate of school dropouts are principal factors of these poverty and unemployment rates. The dropout rate in the Albany City School District in 2004-2005 was 4.9 percent, according to the State Education Department.

The City of Albany has a number of governmental and non-profit agencies operating programs to reduce dependency and poverty among Albany's low-income community. These programs complement the City's successful affordable housing programs, services, and initiatives described earlier in the Consolidated Plan. The City of Albany offers the following Anti-Poverty services:

City of Albany Department of Youth and Workforce Development:

Youth and Family:

The mission of the City of Albany Department of Youth and Workforce Development, through the City's Comprehensive Youth Plan, will be to expand, supplement, and when necessary, create and administer a system of coordinated youth development/delinquency prevention programs that will meet the needs of all youth residing in the City of Albany.

Through the Comprehensive Youth Plan, the City will bring together all appropriate segments of the City to develop strategies that will meet the needs of the City's youth in the most effective and efficient way; improve coordination, cooperation and networking among public and private youth serving agencies; and provide effective youth service programs that are strategically located and fall within the goals and objectives of the City Comprehensive Youth Plan.

Implementation of the goals and objectives will be accomplished through planning, coordination, cooperation, linkage, with public and private agencies that provide services to the City of Albany and through yearly solicitation of program proposals for needed services projects that are approved by the Mayor's Safe Communities Board.

The department has served 211 individuals.

NON-HOMELESS SPECIAL NEEDS

Non-homeless Special Needs

*Please also refer to the Non-homeless Special Needs Table in the Needs.xls workbook.

1. Identify actions taken to address special needs of persons that are not homeless but require supportive housing, (including persons with HIV/AIDS and their families).

Program year 4 CAPER Non-homeless Special Needs response:

Please refer to the HOPWA CAPER located in the Year 4 Additional Files folder

Specific HOPWA Objectives

*Please also refer to the HOPWA Table in the Needs.xls workbook.

1. Overall Assessment of Relationship of HOPWA Funds to Goals and Objectives
Grantees should demonstrate through the CAPER and related IDIS reports the progress they are making at accomplishing identified goals and objectives with HOPWA funding. Grantees should demonstrate:
 - a. That progress is being made toward meeting the HOPWA goal for providing affordable housing using HOPWA funds and other resources for persons with HIV/AIDS and their families through a comprehensive community plan;
 - b. That community-wide HIV/AIDS housing strategies are meeting HUD's national goal of increasing the availability of decent, safe, and affordable housing for low-income persons living with HIV/AIDS;
 - c. That community partnerships between State and local governments and community-based non-profits are creating models and innovative strategies to serve the housing and related supportive service needs of persons living with HIV/AIDS and their families;

- d. That through community-wide strategies Federal, State, local, and other resources are matched with HOPWA funding to create comprehensive housing strategies;
 - e. That community strategies produce and support actual units of housing for persons living with HIV/AIDS; and finally,
 - f. That community strategies identify and supply related supportive services in conjunction with housing to ensure the needs of persons living with HIV/AIDS and their families are met.
2. This should be accomplished by providing an executive summary (1-5 pages) that includes:
 - a. Grantee Narrative
 - i. Grantee and Community Overview
 - (1) A brief description of your organization, the area of service, the name of each project sponsor and a broad overview of the range/type of housing activities and related services
 - (2) How grant management oversight of project sponsor activities is conducted and how project sponsors are selected
 - (3) A description of the local jurisdiction, its need, and the estimated number of persons living with HIV/AIDS
 - (4) A brief description of the planning and public consultations involved in the use of HOPWA funds including reference to any appropriate planning document or advisory body
 - (5) What other resources were used in conjunction with HOPWA funded activities, including cash resources and in-kind contributions, such as the value of services or materials provided by volunteers or by other individuals or organizations
 - (6) Collaborative efforts with related programs including coordination and planning with clients, advocates, Ryan White CARE Act planning bodies, AIDS Drug Assistance Programs, homeless assistance programs, or other efforts that assist persons living with HIV/AIDS and their families.
 - ii. Project Accomplishment Overview
 - (1) A brief summary of all housing activities broken down by three types: emergency or short-term rent, mortgage or utility payments to prevent homelessness; rental assistance; facility based housing, including development cost, operating cost for those facilities and community residences
 - (2) The number of units of housing which have been created through acquisition, rehabilitation, or new construction since 1993 with any HOPWA funds
 - (3) A brief description of any unique supportive service or other service delivery models or efforts
 - (4) Any other accomplishments recognized in your community due to the use of HOPWA funds, including any projects in developmental stages that are not operational.
 - iii. Barriers or Trends Overview
 - (1) Describe any barriers encountered, actions in response to barriers, and recommendations for program improvement
 - (2) Trends you expect your community to face in meeting the needs of persons with HIV/AIDS, and

- (3) Any other information you feel may be important as you look at providing services to persons with HIV/AIDS in the next 5-10 years
- b. Accomplishment Data
 - i. Completion of CAPER Performance Chart 1 of Actual Performance in the provision of housing (Table II-1 to be submitted with CAPER).
 - ii. Completion of CAPER Performance Chart 2 of Comparison to Planned Housing Actions (Table II-2 to be submitted with CAPER).

Program year 4 CAPER Specific HOPWA Objectives response:

Please refer to the HOPWA CAPER located in the Year 4 Additional Files folder

OTHER NARRATIVE

Include any CAPER information that was not covered by narratives in any other section.

Program year 4 CAPER Other Narrative response: