



# Fifth Program Year CAPER

The CPMP Fifth 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 5 CAPER Executive Summary response:

The Consolidated Annual Performance and Evaluation Report (CAPER) is prepared for three federal grants to Monroe County: the Community Development Block Grant (CDBG), HOME Investment Partnerships Program (HOME), and Emergency Solutions Grants Program (ESG). The CAPER includes program performance and accomplishments for the 2014-2015 Program Year, which began August 1, 2014 and ended July 31, 2015.

The purpose of Monroe County's CAPER is to communicate accomplishments to County residents of progress on community development and housing needs, the use of federal dollars to meet those needs and our intent to encourage public commentary on these efforts. The CAPER also serves as a reporting mechanism to HUD on the progress of various programs.

The CAPER provides an opportunity for Monroe County to describe success in meeting the community development objectives of the CDBG and ESG programs and the affordable housing objectives of the HOME Program for the 2014 program year. The CDBG and ESG programs cover 17 towns and 10 villages in suburban Monroe County. All municipalities in Monroe County are members of the Monroe County Community Development Consortium with the exception of the towns of Greece and Irondequoit, and the City of Rochester. The towns of Greece and Irondequoit are members of the HOME Program consortium only, bringing the HOME consortium membership to 19 towns and 10 villages. The towns of Greece and Irondequoit apply directly to HUD and receive their own CDBG grants each year. The City of Rochester also receives its own HUD allocations for these programs. The ESG program overlaps both City and County and is operated cooperatively between the City of Rochester and Monroe County.

Monroe County's 2014 Community Development allocation was \$2,671,852 for the CDBG, ESG and HOME Programs. The total program income received for all programs for the program year was \$457,347. Funds were directed toward accomplishing the following primary program goals and objectives:

- a. Develop affordable rental and homeownership opportunities for all low to moderate-income residents, without discrimination
- b. Repair and conserve existing housing stock
- c. Improve access to and quality of public facilities
- d. Replace deteriorated infrastructure with safe utilities
- e. Provide job training and economic development opportunities for low-mod income persons and persons with special needs

- f. Provide essential public services, particularly those that promote homeownership, fair housing and housing stability
- g. Revitalize deteriorated neighborhoods to eliminate crime and economic decay

### 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.

Year 3 CAPER General Questions response:

- 1. a. & b. Assessment of Goals and Objectives

#### EXPENDITURES BY OBJECTIVE AND NEED (Program - \$ Assistance)

##### A. Repair and conserve existing housing stock

Home Improvement Program (CDBG - \$288,451, 25 completed projects)  
Home Improvement Program (HOME - \$386,258, 27 completed projects)  
Home Improvement Loan Program (CDBG - \$ 38,177, 8 completed)  
Lead Paint Assessment Program (CDBG - \$9,500)  
Program Delivery HIP (CDBG - \$25,000)

B. Develop affordable rental and homeownership opportunities for all low to moderate-income residents, without discrimination

First-Time Homebuyer Program Subsidy (HOME - \$33,915, 13 Homebuyers)  
Homeless Continuum of Care (Technical Assistance)  
Home Ownership Assistance Program (CDBG - \$52,500)  
Rental Housing Development (HOME - \$400,000)

##### C. Replace deteriorated infrastructure with safe utilities

Village of Brockport Monroe Ave Storm Sewers (2013 CDBG \$34,750)  
Village/Town of East Rochester Road Resurfacing (2014 CDBG \$34,750)  
Village of Fairport Parking Lot Improvements (2012 CDBG \$41,714)  
Village of Fairport Sidewalk Replacement (2013 CDBG \$27,800)

Town of Henrietta Sewer Slip Lining (2012 CDBG \$37,250) (2013 CDBG \$34,750) (2014 CDBG \$34,750)  
Town of Penfield Sidewalk Improvements (2012 CDBG \$37,250) (2013 CDBG \$34,750)  
Town of Sweden Town Park Road Reconstruction and Drainage (2014 CDBG \$27,800)  
Village of Webster Sidewalk Replacement (2012 CDBG \$29,800) (2013 CDBG \$19,005.28)

D. Improve access to and quality of public facilities

Village of Churchville ADA Entrance Door Actuators (2013 CDBG \$4,990)  
Town of Clarkson ADA Entrance Doors (2010 CDBG \$33,098)  
Village of Honeoye Falls ADA Sidewalks (2013 CDBG \$8,500)  
Town of Ogden Pineway Ponds ADA Path Improvements (2013 CDBG \$27,800)  
Town of Penfield Irondequoit Creek ADA Trail Improvements (2011 CDBG \$21,896.30)  
Town of Perinton Egypt Park ADA Improvements (2012 CDBG \$16,004)  
Town of Perinton RS&E ADA Trail Improvements (2013 CDBG \$27,800)  
Town of Rush Park ADA Improvements (2011 \$25,050)  
Town of Wheatland Donnelly House ADA Improvements (2013 CDBG \$20,850)

E. Provide essential public services, particularly those that promote homeownership, fair housing and housing stability, and fill gaps in public services

- Provide Fair Housing, Housing Stability and Homeless Assistance (including Homelessness Prevention and Rapid Rehousing Assistance)

Fair Housing Implementation Plan (CDBG - \$ 3,500)  
Expanding Housing Opportunities (Fair Housing Outreach and Education) (CDBG - \$ 45,414.75)  
Homeless Continuum of Care (Technical Assistance)  
Foreclosure Prevention and HECM Counseling Program (CDBG - \$56,939.75)

Homelessness Prevention and Rapid Rehousing Assistance

- HOPE Ministry Homelessness Prevention Financial Assistance (HESG \$15,593)
- Rapid Rehousing Partnership (2013 HESG \$91,982)
- Rapid Rehousing Partnership (2014 HESG \$2,841)
- Coordinated Access Outreach (2014 HESG \$35,878)

- Crime Prevention & Security Training for Elderly Persons

Lifespan's Home Safety & Security for Seniors (CDBG - \$26,586.72)

F. Provide job training and economic development opportunities for low-mod income persons and persons with special needs

- Create and Retain Jobs for Lower Income Persons

ED Grant & Loan Fund - 1 Business Loan (CDBG - \$200,000)  
ED Program Delivery (CDBG - \$25,000)  
Section 108 Loan Guarantee Authority (CDBG)  
ABVI Goodwill to Work Training Equipment (2013 CDBG \$7,500)  
Lifetime Assistance Classified Shredding Equipment (2013 CDBG \$20,000)

- Provide Job Training & Business Services

Section 108 Loan Guarantee Authority (CDBG)  
Partners in Community Development – Work Pays - Training (CDBG \$10,000)

## 2. Program Changes

The Home Improvement Program (HIP) continues to serve those residents most in need while maintaining the quality of program services and overall community benefits. Program guidelines for the 2014 Program Year included: Households with incomes between 0 and 60% of area median income (AMI) are eligible for a grant of up to \$20,000 for needed health and safety repairs. Those with incomes between 61 and 80% of AMI receive a grant for seventy-five percent of the project costs, with a maximum grant of \$15,000, and the opportunity to apply for a low-interest loan for the remaining portion or may fund the remaining portion of the project cost themselves. The allowable liquid asset limit for program participants increased to \$40,000. Repeat grants are allowed after 10 years from initial grant. HUD issued slightly increased income limits which became effective on May 1, 2015.

## 3. Affirmatively Furthering Fair Housing

The Monroe County Department of Planning and Development and the towns of Greece and Irondequoit submitted the completed Analysis of Impediments to Fair Housing Choice in Monroe County in early 2006, leading to formulation of the Fair Housing Action Plan: Strategies for addressing Impediments to Fair Housing Choice in Monroe County, New York (FH Action Plan) in 2009. The Plan identifies specific actions designed to further enhance housing choice for county residents. Consistent with the findings of the AI, the FH Action Plan also met jurisdictional requirements for Fair Housing Planning and Implementation to affirmatively further fair housing, as mandated by HUD's Office of Fair Housing and Equal Opportunity.

The FH Action Plan establishes four basic priorities necessary to affirmatively further fair housing in our community:

- Provide Fair Housing Education and Outreach
- Increase the Supply of Assisted Housing
- Promote Sustainable Minority Home Ownership
- Expand Appropriate Housing Opportunities for Minorities, Seniors, Disabled and Homeless Populations

The FH Action Plan is designed to be implemented over a period of years in recognition of the complex issues to be addressed, overlapping funding cycles and increasingly limited funding opportunities in our current economy.

The AI identified a complex series of issues frequently interacting with one another to limit housing choice for protected class members. Fair housing actions frequently take time to accomplish and cross over program years and funding cycles. Therefore, Action Plan implementation has been addressed in a series of phases. Phase I began in 2010. The Fair Housing Action Plan was designed to eliminate identified barriers to fair housing choice.

The Consultant initiated *The Analysis of Impediments to Fair Housing Choice in Monroe County, NY 2015* process by conducting a series of focus groups and interviewing various local stakeholders. The Consultant has also completed a literature review using available local surveys and studies, US Census and other resources.

## 4. Actions to Address Obstacles to Meeting Underserved Needs

The greatest obstacle to meeting underserved needs is limited funding for CDBG, HOME and ESG programs. The demand for resources is ever-increasing, particularly in the area of community services. In the 2014 program year, CDBG funding was provided to support Lifespan's Safety and Security for Seniors Program, Partners in Community Development, and Volunteers of America's

Working Wardrobe program. Monroe County also provided ESG funds to Hope Ministry for Homelessness Prevention direct financial assistance services and the Rapid Rehousing Partnership Program, a collaborative project administered by Coordinated Care Services, Inc. (CCSI), which provides rapid re-housing assistance. In addition, Monroe County funded a community wide Coordinated Access Outreach program in collaboration with the City of Rochester and the Rochester/Monroe County Homeless Continuum of Care.

Monroe County remains an active member on the Homeless Continuum of Care (CoC) Team. The CoC requested funding under the 2014-15 CoC Super NOFA to finance forty-four (44) local projects. Projects were placed in a "Tier 1" or "Tier 2" priority ranking in accordance with HUD guidelines for the Super NOFA. The two Tiers were established by HUD to address their funding shortfall and allowed the CoC to determine the local priority projects should funding be reduced. Forty-three (43) projects were placed in Tier 1 and one (1) project in Tier 2. On January 23, 2015, HUD announced that all of the 44 projects prioritized in Tier 1 and Tier 2 were approved for funding at a total funding level of \$11,102,896. That funding includes \$115,400 of CoC planning grant dollars, \$251,880 of HMIS funding, \$446,465 of Support Services Only funding (employment, healthcare, and legal services related to assisting homeless persons to secure permanent housing), \$1,054,110 in transitional housing funding, \$126,153 in Permanent Housing/Rapid Rehousing funding, and \$9,088,888 in permanent housing funding.

5. a. & b. Leveraging Resources

The Department of Planning and Development makes maximum use of its financing tools and continues to develop programs that pool Community Development funds together with other departmental resources for initiatives that serve low and moderate-income persons in Monroe County. CDBG, particularly the ED Grant and Loan Fund, HOME funds and County of Monroe Industrial Development Agency (COMIDA) financing are often blended together to provide accommodations for business start-ups, expansions and relocations from other areas or used to finance affordable housing developments that may qualify for bond financing.

The towns of Greece and Irondequoit administer their own CDBG Programs, therefore, the HOME Program is the only program administered by the County on behalf of the towns of Greece and Irondequoit. In addition to securing other federal and state funds to complement Community Development funds, Monroe County pools resources with the following non-profits in the development of affordable housing: Greater Rochester Housing Partnership, Bishop Sheen Ecumenical Housing Foundation, Rochester Housing Authority, PathStone, Urban League of Rochester, Providence Housing Development Corporation, Lifetime Assistance Incorporated and Heritage Christian Services.

The HOME Program attracts substantial private and other public dollars into its funded projects. The potential sources of these leveraged funds (other than match funds) are many: investor equity, including tax credit syndications; homebuyer down payments; private rental and home ownership loans; and other state, federal and local housing and community development programs and foundations.

c. Match Requirements

Monroe County carried forward \$725,332 in HOME match from the 2013 program year. During the 2014 program year, Monroe County allocated \$875,881 in HOME funds; therefore, the HOME match liability equals \$218,971. During this period, Monroe County earned \$79,885 in new match which, combined with the amount remaining from 2014, will allow the County to carry forward **\$748,576** in match for the 2015 program year. (See attached Match Log for detailed information.)

## Managing the Process

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

Program Year 5 CAPER Managing the Process response:

The Annual Action Plan is prepared and implemented in compliance with HUD guidelines to encourage maximum coordination and participation from public and private sector leaders and agencies that play a critical role in carrying out Community Development activities. All aspects of the County's public participation plan were strictly followed to ensure compliance with program and comprehensive planning requirements. During the program year, Monroe County also took steps to continue the implementation of performance measures and associated changes to IDIS and the CPMP Tool.

Monroe County has developed good working relationships, regular communication, and shares a community vision with many non-profits, banks, private industry, government agencies, public institutions, local developers and private residents. CDBG and HOME activities require the endorsement, commitment and, in some cases, assistance from these agencies. Therefore, extensive outreach is done to ensure their involvement, partnership and integration of goals. Monroe County's Citizen Participation Plan is a successful tool in the solicitation of constructive commentary from the community as a whole. Agencies respond in many different ways and forums such as municipal meetings, including County Legislature sessions, submittal of funding applications from a variety of housing, public service and community agencies dedicated to meeting the needs of special population groups and other educational, health care and business/industrial institutions. Proposals are received annually from a variety of government agencies, housing advocacy groups, special interest agencies, contractors and developers, faith-based groups and private citizens. Community Development funds are used to leverage resources from other government programs, non-profit initiatives and private industry incentives in the implementation of programs to maximize program outcomes and increase the number of beneficiaries.

## Citizen Participation

1. Provide a summary of citizen comments.
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 5 CAPER Citizen Participation response:

1. Summary of Citizen Comments

The first public notice in regard to the availability of funds and the first public hearing appeared in The Daily Record and the Messenger Post Newspapers on December 18, 2013. The first public

hearing on the development of the 2014 Action Plan was held on Friday, January 17, 2014 at 9:30 a.m. to obtain public comments and input on the planning process. The meeting was held at the Watts Conference Center, which is ADA accessible. Kathi Gingello, Community Development Manager, conducted the hearing and informed the public of the following:

"Monroe County expects to receive an allocation of about \$2.6 million from the U.S. Department of Housing and Urban Development in 2014. This amount is based on actual 2013 allocations for the Community Development Block Grant in the amount of \$1.6 million, the HOME Investment Partnerships Program in the amount of \$828,271, and the Emergency Solutions Grants Program in the amount of \$115,656. It is uncertain when actual allocation amounts will be released, so we have been advised by HUD to plan based on 2013 actual allocations. Program income for the CDBG and HOME Programs in 2014 is expected to make available an additional \$350,000, for a combined total of about \$2.9 million.

Funds will be used to continue existing programs and to identify new housing and community development activities that principally benefit low to moderate-income individuals.

In accordance with federal regulations, a notice of funding availability was published in the December 18, 2013 issues of The Messenger Post Newspapers and The Daily Record to solicit participation from the public in the planning process for 2014 and to encourage comments from private individuals, consortium members and community service agencies.

Community Development is accepting project proposals for grants that will be made available on or after August 1, 2014. CDBG project applications are due Friday, February 14, 2014 by 5:00 p.m. Applications for CDBG funding are available here today if you would like one or are also available via email upon request or on our website at [www.monroecounty.gov](http://www.monroecounty.gov). If you need any assistance completing an application, please contact the appropriate staff member listed in the instructions and we will be happy to assist you.

Monroe County will be releasing ESG funding applications in March, in collaboration with the City of Rochester. Applications for HOME Rental Housing Development projects were solicited in September of 2013 in an effort to coincide with the State application and funding cycle which began in October.

Priority activities are those that develop affordable rental and homeownership opportunities for all low to moderate-income residents, without discrimination; repair and conserve existing housing stock; improve access to and quality of public facilities; replace deteriorated infrastructure with safe utilities; provide job training and economic development opportunities for low-mod income persons and persons with special needs; provide essential public services, particularly those that promote homeownership, fair housing and housing stability; and revitalize deteriorated neighborhoods.

The program area for the CDBG Program includes all municipalities in Monroe County with the exception of the City of Rochester and the towns of Greece and Irondequoit. The HOME Program area consists of all suburban towns and villages in Monroe County, excluding the City of Rochester. To be eligible for funding, projects must principally benefit low to moderate-income persons and comply with other regulations of the CDBG, HOME or ESG Programs.

Monroe County appreciates your comments on these programs and thanks you for attending this morning."

Twenty-five people, including five CD staff members, attended the first hearing. There were no public speakers who expressed comments, and no written comments were submitted.

The second public hearing on the development of the 2014 Action Plan was held on Wednesday, May 7, 2014 at 9:30 a.m. at the Watts Conference Center. There were thirteen people in attendance, including staff. Kathi Gingello, Community Development Manager, conducted the hearing and presented the following:

“The purpose of this hearing is to receive comments on the 2014 Annual Action Plan for Housing and Community Development in Suburban Monroe County, which was made available for public comment today. Copies of the draft document are available here today.

Monroe County expects to receive an estimated total 2014 allocation of \$2,671,852 for the CDBG, HOME and ESG programs. The County’s anticipated CDBG allocation is \$1,653,925, a decrease of \$9,651; the HOME allocation is estimated at \$882,780, an increase of \$54,509; and an ESG allocation of \$135,147, an increase of \$19,491. The 2014 estimated combined allocations are \$64,349 more than last year, an overall increase of 2%.

Estimated program income, which is interest on outstanding loans and other repayments, is expected to total \$280,000 for the CDBG program and \$70,000 for the HOME program. The combined total of anticipated funding available for all programs, including program income, is \$3,021,852.

Monroe County and HUD are not bound by these estimates as they are subject to the final release of appropriations from the OMB and final HUD approval of our Action Plan submission.

Eligible projects include housing programs, public works, public facility improvements, economic development and essential community services.

In accordance with federal regulations, Monroe County published a list of proposed program categories in The Messenger Post Newspapers and The Daily Record on April 16, 2014, to solicit participation from the public in the planning process for the program period and to encourage comments from private citizens, consortium members and agencies. There is a complete list of the projects proposed for funding available here today.

The 30-day public comment period for the 2014 Action Plan begins today, May 7<sup>th</sup> and concludes on June 9<sup>th</sup>. You may contact the Community Development Division or submit written comments until June 9<sup>th</sup>. You may also submit comments by email to [cshafer@monroecounty.gov](mailto:cshafer@monroecounty.gov).

Monroe County will consider all comments for incorporation into the Action Plan, which will be sent to HUD on June 12. We will respond to all comments received in writing.

Monroe County appreciates your comments on these programs and we thank you for attending.”

Thirteen people, including CD staff, attended the second hearing. There were no speakers or comments received.

The draft Consolidated Annual Performance and Evaluation Report (CAPER) for the 2014-2015 Program Year was made available for public review and comment for 15 days prior to submission. No public comments were received on the CAPER during the comment period of October 12-27, 2015.

## **Institutional Structure**

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

Program Year 5 CAPER Institutional Structure response:

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Community Development (CD) continues to work closely with all applicable public, private and government entities within Monroe County's organizational structure to further enhance collaboration and communication and improve program delivery.

During the 2014-2015 Program Year, CD staff was appointed to the Monroe County/Rochester Youth Council, which is an advisory board to the Monroe County/Rochester Workforce Investment Board (WIB) for all youth programming under the Workforce Investment Act of 1998. The Youth Council serves to advise the WIB on the development and implementation of workforce development services to youth throughout Monroe County.

CD staff continues to actively participate in the CoC. During the 2014-15 Program Year, CD staff continued to actively participate on the Administrative Board and three (3) of the CoC Subcommittees: Steering Subcommittee; Budget Adhoc group, and chair of the Monitoring Subcommittee.

Monroe County continues to strengthen and expand existing public and private sector coordination and to identify and build innovative partnerships throughout the local community.

Economic Development (ED) Staff coordinate the CDBG-funded Economic Development Grant and Loan Fund with new programs developed in the community and the agencies that administer them, including The Entrepreneurs Network (TEN) that offers intensive training and mentoring for high-tech entrepreneurs and Monroe County Finger Lakes Procurement Technical Assistance Center (MCFLPTAC) that connects vendors to procurement opportunities with the federal government.

CD continues to work closely with all public, private and government entities within Monroe County's organizational structure to further enhance collaboration and communication and improve program delivery. CD continues to become more involved in affordable housing through participation on the Greater Rochester Housing Partnership Board of Directors and the United Way Building Community Impact Team.

Monroe County continues to seek new avenues of inter-governmental, public and private partnership opportunities to improve efficiency and enhance delivery of services. The County's Council of Governments has proven to be an innovative mechanism for new collaboration among the towns and villages.

## 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 5 CAPER Monitoring response:

1. and 2. CDBG, HOME and HESG Program Monitoring

Community Development's (CD) monitoring strategy for the CDBG, HOME and ESG programs consists of the use of standard Monroe County financial practices together with the standards, systems and procedures derived from the federal regulations and objectives. These guide us in successfully measuring fiscal, regulatory and programmatic performance and compliance of all activities funded by the Consolidated Plan. Our policies are effective in establishing project eligibility compliance with primary and national objectives as well as compliance with other areas of grant administration. These policies also apply to the activities of the HOME Program to provide the most effective methods of reviewing, evaluating, and monitoring performance of all sub-grantees and project elements. The policies utilize methods such as risk analysis to guide the selection process and follow-up procedures such as progressive sanctions to effectively prevent and remedy problem areas.

CD staff administers the Consolidated Plan programs and maintains financial compliance by using uniform procedures that closely scrutinize the legitimacy and appropriateness of project costs. The system focuses on the training of sub-grantees in reporting fiscal and programmatic data simultaneously to achieve timely reimbursements. Sub-grantees submit claim vouchers with companion progress reports and statistical data to obtain payment of project costs or services performed. Materials which must accompany the vouchers are specific to each project but generally include invoices for project materials purchased, personnel records for labor involved, a detailed scope of services performed and other official data needed to evidence project costs. Narrative documentation, which must accompany each voucher, includes program status reports, a description of services performed and a breakdown of project beneficiaries by income, age, residence in our program area, ethnic background and other appropriate data. After evaluation and staff approval, vouchers are sent to the Controller's Office for payment. Sub-grantees usually receive payment within 3 weeks through the County's bi-monthly payment schedule.

Monitoring of Specific Activities - The activities funded through the CDBG, HOME and ESG Programs consist principally of housing rehabilitation and new construction of affordable housing facilities, activities to prevent homelessness and direct homeless assistance projects, community services including fair and affordable housing counseling and technical assistance, public works and utility infrastructure, public facility improvements, including ADA alterations, economic development loans to businesses and grants for employment services and neighborhood revitalization and community planning studies.

HOME Program Activities - Records for the CAPER are kept for all activities to ensure compliance with program regulations and our housing strategies. These include income certification, rent levels, ethnic groups served, family size, unit type, sale price of housing unit or other data needed to ensure compliance. Prior to disbursement of funds, all activities must comply with housing priorities and strategies of the Consolidated Plan. The program is evaluated annually in this regard.

On-site inspections of HOME-assisted rental units are conducted to determine compliance with the property Housing Quality Standards (HQS) of 24 CFR 92.251 and to verify that the information submitted by the owners is in accordance with the requirements of 24 CFR 92.252. Inspections must be based on a sufficient sample of units to ensure compliance with all Section 8 Housing Quality Standards at 24 CFR 92.504.

The purpose of the HOME Program's ongoing monitoring requirements for rental projects is to ensure that the project owner:

- maintains the appropriate mix of very low-income and low-income tenants throughout the compliance period;
- properly collects the required information and annually determines the income eligibility of tenants in the assisted units;
- collects rents that do not exceed the HOME maximum rents, when adjusted for tenant-paid utility allowance; and
- maintains the units in accordance with Housing Quality Standards (HQS).

Certifications of Consistency with the Consolidated Plan - All HUD proposed homeless and/or housing applications that require a Certification of Consistency with the Consolidated Plan must be reviewed prior to issuance of executed Certifications of Consistency. The County reserves the right to request updates on Consolidated Plan certified activities and/or conduct site visits to ensure consistency with the original proposed activities and long-term compliance.

Community Service Sub-recipients - Our comprehensive oversight system ensures that sub-recipients who perform services comply with all applicable federal regulations governing their administrative, financial and programmatic operations and verifies compliance with program delivery, performance objectives, schedules and budgets. We conduct several in-house reviews of project materials, which include a complete evaluation of the project applications, contract agreements, progress reports, vouchers and financial audit materials. Of particular concern is the sub-recipient's data on beneficiaries, which is described in detail in each progress report. Monitoring visits are conducted on sub-recipients to ensure that services are provided in accordance with federal regulations. Most programs have specific monitoring forms to record activities in progress and to identify the type and size of populations served. This provides us with the necessary data to evaluate performance and the project's effectiveness in reaching target recipients, achieving program objectives and compliance with regulations, to formulate monitoring strategies and to recommend appropriate follow-up actions. In-depth project reviews are conducted annually to ensure that all guidelines have been met. Future funding is contingent on the positive results of these reviews. Where the sub-recipient is developing and/or operating housing, records are reviewed to ensure that income certification, rent levels and other requirements are met.

Construction Activities for Housing, Economic Development, Public Works Utility Infrastructure and Facility Improvements - These projects are evaluated closely at the proposal stage for CDBG eligibility and environmental review clearance. Procurement standards generally require the use of the competitive public bid process and in some cases, the Request for Proposal (RFP) process, when municipal labor forces do not perform the project. Contract agreements between CD and sub-grantees are specific in citing compliance with federal regulations and are used as a monitoring resource document. All applicable federal acts and executive orders are referenced in these contracts, as well as in the construction bid documents. CD reviews all bid notices for publication in newspapers of general circulation to ensure that they include general federal regulations, specifically labor standards provisions as they relate to Davis Bacon Wage Rates, Equal Employment Opportunities (EEO), the federal funding clause, and Section 3 provisions. CD staff ensures that the construction bid documents contain all necessary forms, regulations and requirements in a section titled "Special Conditions - Federal and State Requirements" (EEO, Labor Standards, federal certifications, M/WBE Plan, Section 3 Provisions, etc.) to make potential bidders aware of federal project funding and related requirements. This section is revised periodically to reflect the most current HUD forms available through the HUD website. We continue to include specific federal certifications that must be signed by bidders as part of the bid proposal, which now contains all state, federal and local certifications.

All contractors and subcontractors are reviewed prior to participation in projects to ensure that they are not listed on any federal lists of suspended and debarred contractors. In addition, the standard County contract contains a Debarment Certification, in accordance with the Monroe County Law Department. This certification must be signed by each sub-grantee as part of the contract execution, which helps ensure that Monroe County is not contracting with a firm or agency that appears on any suspended or debarred list.

CDBG and HOME construction projects are monitored closely with multiple inspections and site visits, starting with an initial visit to verify the posting of HUD notices. Progress inspections are conducted to verify performance of the activity, particularly before voucher payments are processed. Employee interviews are conducted with an employee of each prime and subcontractor. Final inspections by CD staff are performed to verify the satisfactory completion of the project, evidenced by photos. More technical inspections are performed by project engineers to verify satisfactory completion.

Housing Rehabilitation Activities - The Home Improvement Program (HIP) funded by CDBG and HOME, is our primary housing rehab activity. Use of the following system enables us to operate this program effectively, efficiently and in compliance with federal regulations. Applications are taken on a first-come, first-served basis throughout the year with priority given only to health and safety emergencies. Selection criteria for eligible households includes: income at or below 80% AMI, cash or liquid assets below \$40,000 and the property must be owner-occupied with all property taxes paid to date. The applicant must have owned the home for at least one year prior to applying for assistance. Improvements must be approved and evidenced as eligible before funding is committed. Notices of approval or denial are sent out immediately to inform applicants of their status, accompanied by referrals to other programs, as appropriate.

The CD program staff provides all construction management services. Direct rehab supervision is provided by the general contractor, selected by the homeowner, with the oversight of the CD Rehabilitation Specialist. The Specialist performs initial, pre-construction, in-progress and final inspections to determine that improvements are eligible prior to funding and in accordance with federal Housing Quality Standards (HQS) and building codes. Upon completion, they must meet or exceed HQS requirements. The Specialist also performs preliminary environmental reviews on each project, inspects properties for lead-based paint hazards and alerts health officials of potential and existing threats, prepares work specifications, assists homeowners in obtaining estimates and provides other technical assistance and problem resolution.

The CD program staff prepares program grant and loan agreements and monitors projects during the recapture period by recording mortgages against each property for the required affordability period.

Economic Development Activities - The CDBG-funded ED Loan component of the Economic Development Grant and Loan Fund is our principal resource for providing low interest loans to for-profit businesses for projects that create and retain jobs. The County has opted to use the HUD guidelines and objectives for evaluating project costs and financial requirements as a framework for financially underwriting and selecting projects for funding.

Monitoring procedures determine eligibility of the for-profit businesses by demonstrating that the assistance is appropriate. The process is more comprehensive because our written assistance agreements between the County and the businesses incorporate a detailed description of the documentation required for job creation and retention activities. These contracts include a commitment to make at least 51% of jobs, on a full-time equivalent basis, available to low to moderate-income persons and provide training for those jobs that require it; a listing by job title of permanent jobs to be created, identifying those jobs available to low to moderate-income persons, those requiring special skills or education and part-time jobs; a description of actions to be taken to ensure first consideration of low to moderate-income persons for jobs; a listing by job title of

permanent jobs filled, those available to low to moderate-income persons and a description of how first consideration was given. For job retention activities, similar data is included to evidence that the jobs would be lost in the absence of funding.

The following documents to evidence compliance with the income benefit requirements are obtained, evaluated and recorded: the size and annual income of the assisted low to moderate-income person's family, or substitutions to evidence that the person qualifies for another program having criteria at least as restrictive, residence in an eligible low to moderate-income census tract, evidence of homeless status, or that the person is a referral from a government employment agency qualified to determine the person's low to moderate-income status, or qualifies under the "limited clientele" criteria of the national objectives, or if the assisted person signs a certification stating that their income meets the HUD criteria.

Other activities eligible through the ED Grant and Loan Fund include job training, development and placement services, neighborhood revitalization projects, technical assistance to Section 3 start-up businesses and micro enterprises and employment and training for persons with special needs. Because of the nature of these activities in providing community services through consultants, we use the same monitoring system used for community service sub-recipients, which is listed above.

### Monitoring Tools

The CAPER and IDIS continue to be used as effective monitoring resources since they describe and document the financial status of all projects and programs. They serve as an accurate measure of performance in terms of eligible beneficiaries served, program target areas addressed, matching dollars with priority needs, identifying primary activities funded and generally, in displaying information in a format from which data can be easily extracted.

Contract Agreements are developed by CD staff for each project and are used as a mechanism to ensure compliance with County legal requirements, to provide guidance to sub-grantees on performing projects in accordance with national objectives and related federal, state and other applicable regulations, as a means of documenting data required by federal record keeping regulations and, subsequently, as an important project resource document.

Cooperation Agreements are executed between Monroe County and town and village members of the Monroe County Community Development Consortium and the HOME Consortium every three years to enable those members who wish to continue participating in the CDBG and HOME Programs to do so. Non-members, if any, are invited to join the consortium when these agreements are renewed every three (3) years.

Town/Village Board Resolutions are required to accept CDBG grants for specific projects. In addition, the Monroe County Legislature must pass a resolution to approve the annual Consolidated Plan, together with CDBG and HOME annual action plans, prior to submission to HUD.

Progress Reports and Voucher Payment Requests are required from all sub-grantees on special forms developed for tracking activity progress and reporting on income and ethnic data.

Other resource documents include Monroe County internal audits, independent financial audit reports of sub-recipients, Site Visit Reports for public service sub-recipients, Inspection Reports on construction projects, Construction Bid Documents and certifications contained in bid proposal sections, the Environmental Review Record File, the Procurement Documentation File and detailed project application forms and eligibility analysis files.

### 3. Self-Evaluation

Projects from the 2014 Action Plan for CDBG, HOME and ESG were selected for funding because they implemented the housing and community development strategies that address our primary program goals and objectives in housing, economic development, community services and public works/facility improvements.

All major goals outlined in the 2014 Action Plan are on target, particularly public works/facilities improvements, community services and housing.

#### Economic Development Evaluation

ED Grant and Loan Fund also provided a loan to Retroech, Inc. which specializes in the design, installation, modernization and support of automated pallet, case and piece pick material handling systems with the use of robotics and proprietary software for supply chain and inventory management systems. The company was experiencing growth and required assistance to upgrade facilities to maintain competitive.

Our strategy continues to merge ED Loan funds with an array of other public resources in an effort to leverage private capital investments by existing and new businesses resulting in job growth. ED Loan funds are used in conjunction with CDBG Section 108 Loan Guarantee authority and CDBG grants for infrastructure. Incentives through the Monroe County Industrial Development Agency (COMIDA) are: real property tax abatement, sales tax exemption on building material and equipment and a mortgage recording tax exemption. The Monroe County Industrial Development Corporation (MCIDC) provides financing for real property or equipment via the SBA 504 program. Additionally, several other programs are offered through MCIDC that provide subsidies to manufacturing, commercial and industrial companies for fixed asset purchases. These programs include: the GreatRate/GreatRebate program, Monroe Manufacturing Rewards, LoanPlus. Other programs provide for training and hiring costs such as: Monroe on the Job, Monroe Manufactures Jobs and Helmets to Hardhats.

The ED Grant component of the CDBG-funded Economic Development Fund supports projects that provide assistance to disadvantaged businesses that employ very low-income persons; job training and development activities for displaced workers, unemployed persons and under-employed residents; neighborhood revitalization and self-sufficiency initiatives; and grants to agencies that provide jobs for persons with special needs. In 2014, grant funds were allocated to Monroe County Finger Lakes Procurement Technical Assistance Center (MCFLPTAC) to provide training and technical assistance to micro enterprises. A total of ten (10) micro enterprise businesses received services during the program year.

#### Employment Evaluation

The key to CDBG employment strategies lies in adopting and actively participating in Monroe County's economic development initiatives while identifying community resources to implement them. We have increased support for major employment efforts, which are integrated into the goals and objectives of the Economic Development Division and its resources. Staff concentrates on County programs designed to create and retain jobs.

#### Public Works and Facility Improvements Evaluation

At the close of the 2014 program year, twenty one (21) CDBG public works and facility improvement projects were completed..

Utility Infrastructure - Neighborhood Improvements continue to be a high priority for our CDBG member communities due to the age and deterioration of infrastructure in suburban Monroe County. Our strategy to address these needs included the funding of five (5) CDBG sidewalk replacement projects with \$148,605.28 in CDBG funds to assist residents in The Village of Fairport,

Town of Penfield, and The Village of Webster. Four (4) sewer improvement projects with \$141,500 in CDBG funds assisting residents in the Village of Brockport and the Town of Henrietta. Three (3) road/parking resurfacing improvement projects with \$104,264 in CDBG funds assisting residents in the Village/Town of East Rochester, Village of Fairport and the Town of Sweden.

Handicapped Accessibility - CDBG funds continue to be used to retrofit public facilities with accessible restrooms and compliant parking improvements in accordance with the ADA. Consortium members prioritized the need for ADA improvements due to the growing elderly population; increase in number of mobility impaired residents; efforts to provide recreational and educational opportunities to the growing number of persons with disabilities and general ADA compliance requirements.

Communities continue to focus on recreational facilities such as municipal parks, senior centers and community facilities that receive public use. In particular, public parks built adjacent to town and village offices are priorities.

A total of five (5) parks, recreational facilities and community facility projects in the Towns of Ogden, Penfield, Perinton and Rush received \$118,550.30 in CDBG funds for improvements. ADA improvements were also undertaken in the Villages of Churchville and Honeoye Falls as well as the Towns of Clarkson and Wheatland for \$67,438. These projects benefit elderly and mobility-impaired persons by providing them with safe access to ADA-compliant facilities.

#### CDBG Housing Activities Evaluation

The CDBG Home Improvement Grant and Loan Program helped low to moderate-income residents finance home repairs to correct serious housing deficiencies. As indicated earlier in this report, 52 housing rehabilitation projects were completed during the program year throughout consortium member communities. There were 25 projects funded through CDBG and 27 funded through HOME.

CDBG strategies to provide affordable housing opportunities and promote housing stability for lower income persons are also addressed through projects such as The Housing Council's Expanding Housing Opportunities Program, the Foreclosure Prevention and HECM Counseling Program and the Monroe County Homeownership Assistance Program. Accomplishments for these three programs are detailed as follows:

Expanding Housing Opportunities Program - activities designed to promote and expand fair and affordable housing and suburban development opportunities, increase community acceptance of the benefits of diverse populations and raise community awareness of fair housing. In addition, local, absentee and out-of-town landlords and property managers can go on-line to [www.ROCLandlord.com](http://www.ROCLandlord.com) for resources, including relevant federal, state and local governmental information and service providers to ensure that much needed affordable rental units are placed in the market in a timely manner. The Housing Council at Pathstone conducted 6 housing education seminars, attended by 67 participants and 2 Homebuyer Financial Education workshops, with 16 participants. A total of 4,282 discrimination/fair housing inquiries came through the housing hotline, for a total of 660 suburban beneficiaries.

Foreclosure Prevention and HECM Counseling Program - individualized counseling services for lower-income homeowners on foreclosure prevention, home equity conversion and predatory lending. This program resulted in 91 foreclosure prevention cases (and 11 Home Equity Conversion Mortgage (HECM) mandatory counseling cases (resulting in 11 cases being processed), bringing the total number of beneficiaries to 102.

The Home Ownership Assistance Program, administered by The Housing Council at Pathstone, providing counseling, education, referral and financial assistance to lower income persons of

Monroe County, served over 567 families during the program year. The long-term credit counseling component enables some of the County's lowest income residents to ultimately become eligible for home ownership. In the past year, Monroe County provided purchase subsidy to 13 first-time homebuyers through this program. The total HOME subsidy provided was \$33,915. Average subsidy was \$2,609 per purchase. Program participants purchased homes throughout Monroe County, but the towns of Greece and Irondequoit remain very popular for first-time home buyers.

#### Community Services Evaluation

Our public service strategy is to provide essential public services that promote homeownership, fair housing and housing stability. Primary programs include the Homeownership Program, Safety and Security for Seniors Program and the two housing stability programs administered by The Housing Council at Pathstone, as outlined above.

##### a. Assistance to Elderly Persons

Home safety and security services continued through the Safety and Security for Seniors Program operated by LIFESPAN. Older adult volunteers provided home safety and security modifications to the homes of 235 low-mod income senior homeowners to enable them to continue to reside independently in their homes. The "Don't Be Scammed" prevention, intervention and education program is also provided through presentations at senior centers where low-mod income suburban senior citizens were trained in the identification and avoidance of financial and other scams that often target vulnerable older adults. Presentations were held at various locations for 457 seniors, plus 22 individual scam consultations were conducted for a total of 479 beneficiaries.

##### b. Assistance to Persons with Special Needs

The ABVI – Goodwill provides services to support individuals that are blind and visually impaired. The Goodwill to Work workforce development program is a unique approach to providing a service for individuals with barriers to employment. ABVI received \$7,500 towards the purchase of workstations and training material for program participants to be trained on. The Goodwill to Work program provides assistance through a person-centered approach, giving individuals the confidence to seek out a position, the skills required to obtain that position and the support to resolve issues that may arise during their employment.

Lifetime Assistance Inc. (LAI) is a comprehensive agency in the greater Rochester area serving adults with developmental disabilities. LAI currently runs a National Association for Information Destruction (NAID) certified secured document destruction business operating under the name of Classified Shredding Services. This business employs 19 developmentally disabled individuals. The business started in 2005 and has since grown to the point that maximizes its equipment capacity. Lifetime Assistance Inc., received \$20,000 towards the purchase of a Classified Shredding Services – 5/16 shredder upgrade. The addition of this equipment has increased the Classified Shredding Services capacity by approximately 50%. With the increase of capacity and capability, creating more job opportunities for low - income developmentally disabled adults is anticipated.

##### c. Assistance to Homeless Populations

CDBG funds were used to fund programs that primarily promote housing stability. The programs administered by The Housing Council at Pathstone such as foreclosure prevention, landlord/tenant counseling and the housing hotline, as well as the Home Improvement Program, all promote housing stability and help prevent situations that can lead to homelessness. CD staff also remains actively involved in the Rochester/Monroe County Homeless Continuum of Care Team.

Monroe County provided 2014 Emergency Solutions Grants (HESG) funding to two (2) agencies, to administer three (3) programs. HOPE Ministry received funding to provide direct financial assistance for Homelessness Prevention activities, and Coordinated Care Services, Inc. is the lead agency for the Rapid Rehousing Partnership and the community-wide Coordinated Access outreach program. The Rapid Rehousing program focused on quickly moving households from homelessness to stable permanent housing. The community-wide Coordinated Access outreach program focused on diversion screening and exit to permanent housing.

The County continues to work in concert with the City of Rochester to jointly fund and monitor these programs to maximize the impact of our limited program resources.

d. Assistance to Low-Mod Income Families

Families continue to benefit from CDBG-funded housing rehabilitation, neighborhood improvements, public facility improvements and public services, including the first-time homebuyer program.

Planning and Capacity Building Activities Evaluation

With the CDBG administrative threshold of 20%, funds for planning and capacity building are extremely limited. There were no applications received or funded for planning or capacity building for the 2014-2015 Program Year.

Municipalities often need assistance in developing master plans for parks and recreation, land use planning, economic development, downtown revitalization and housing issues. Our strategy to address these comprehensive planning needs targets technical assistance resources from the Planning Division of the Department of Planning and Development. CD staff assists this division in helping local governments in setting, evaluating and achieving the long-term land use and conservation objectives of the community. This division provides technical assistance on planning, zoning and development matters; prepares the County's Six-Year Capital Improvement Program; and provides data on population, employment, land use and other social and economic factors. The Planning Division developed computer mapping capabilities using a Geographic Information System (GIS) and conducts an annual education program for local municipal officials aimed at increasing their knowledge of planning, zoning and land use issues.

**Lead-based Paint**

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

Program Year 5 CAPER Lead-based Paint response:

In 2014, the Community Development (CD) Division continued to enforce actions specific to its housing programs in lead-based paint hazard identification, disclosure and reduction. Lead-based paint hazard reduction activities continue to make up a significant proportion of the repairs undertaken in the Home Improvement Program (HIP). Federal requirements for lead-safe work practices and contractor certifications have substantially increased the costs of home repairs, making it more difficult to accomplish all that is necessary to ensure that health and safety related deficiencies are corrected. For this reason, CD again allocated substantial CDBG and HOME funds to the HIP for 2014.

Proway Management, a Rochester-based lead paint testing firm, is contracted to provide risk assessment and clearance inspection services for the Home Improvement Program.

All properties purchased through the County's First-Time Homebuyer Program must have inspections for lead-based paint hazards prior to final approval of applications for assistance.

Purchase subsidies are only issued after receipt of inspection reports indicating that there are no lead-based paint hazards present at the time of purchase.

The Monroe County Department of Public Health (MCDOPH) is the lead agency in regard to lead poisoning prevention.

The MCDOPH Lead Program received another \$155,311 Healthy Neighborhoods grant for outreach from the NYSDOH, which runs from April 1, 2015 through March 31, 2016. This Program is a preventative environmental housing and health program targeted toward low-income families living in targeted areas in the city of Rochester. The selected target area is defined as zip codes 14605, 14608, 14609, 14611 and 14621 which have well documented public health and housing issues. The primary goals of this project are to reduce morbidity and mortality from indoor air pollution, asthma, residential fires and childhood lead poisoning. The method used to reach these goals will be to conduct 600 initial residential home environmental assessments and 150 re-visits for a total of 750 visits over 12 months.

Lead Safe Work Practices Training - After April 2010, the new federal law requires contractors to become EPA Lead Certified Renovators. The new Lead Renovation, Repair and Painting rule (LRRP) affects anyone who is paid to perform work that disturbs paint in housing and child-occupied facilities built before 1978. This would include residential rental property owners/managers, general contractors, maintenance personnel and trade contractors, including HVAC, painters, plumbers, carpenters and electricians. All persons conducting lead hazard control work that is ordered in a "Notice and Demand," and participating in the HUD grant must successfully complete an approved EPA Renovation, Repair & Painting initial 8-hour training. Prior to the commencement of lead hazard control work the recipient of the "Notice and Demand" and/or property owner must submit proof of this training to the MCDOPH for all such persons. The Cornell School of Industrial Relations is the EPA-certified training provider again for 2014-2015 where a total of 19 classes will be conducted. This year the training is being paid for with funds from the Childhood Lead Poisoning Primary Prevention grant.

The Lead Poisoning Prevention Program received another grant from NYSDOH for \$392,531. This grant runs from October 1, 2014 through September 30, 2015. This program provides medical management, educational and environmental intervention for children with elevated blood lead levels of  $\geq 15$  ug/dl and their families. Services in response to reports of elevated blood lead levels in children are mandated by NYS Public Health Law 1370-1376A and Part 67 of the NYS Sanitary Code. Lead Program Public Health Sanitarians conduct environmental inspections of properties to find lead hazards in homes where children with elevated lead levels reside or spend considerable time. Any hazards found must be remediated using Lead Safe Work practices and the properties must achieve lead dust clearance in accordance with EPA standards. A Lead Program nurse ensures that children receive follow-up testing and care from their pediatric provider. Both sanitarians and nurses provide lead poisoning prevention education to parents and guardians.

The Childhood Lead Poisoning Primary Prevention Program received another Lead Poisoning Primary Prevention grant from the NYSDOH for \$802,276. This grant runs from April 1, 2015 through March 31, 2016. Approximately 400 properties that house young children, pregnant women, DHS clients and refugees will be made lead safe and residents and owners of these properties will be educated in lead poisoning prevention and other environmental health hazards in their homes including asthma triggers, mold, pest infestation, fire safety and carbon monoxide poisoning prevention. A MCDOPH Lead Program Public Health Sanitarian (Lead Risk Assessor) will visit these homes. He/she will conduct a lead inspection and provide a healthy home inspection and education. Properties found to have conditions conducive to lead poisoning will be designated as an "Area of High Risk" under Public Health Law and have a Notice and Demand issued to the property owner. The Program continues to expand the City of Rochester's existing Certificate of Occupancy activities and enhance efforts by performing additional lead visual inspections (2800) and lead dust wipe test sampling (1278).

The Lead Poisoning Prevention Program received a \$3,270,000 Lead Hazard Control Grant from the Department of Housing and Urban Development (HUD). The grant runs from Healthy Home Interventions and Energy Efficiency measures in 270 privately owned pre-1978 City of Rochester residential housing units where low and very low income residents live. Property owners are eligible to receive a maximum of \$10,000/unit to remediate identified lead hazards and an additional \$1,000/unit to mitigate identified healthy home hazards. A MCDOPH Lead Program Public Health Sanitation (Lead Risk Assessor) completes a lead risk assessment to identify lead hazards and uses the Healthy Home Rating System to assess healthy home hazards. The property owner must hire an EPA certified Lead Abatement worker, who is also RRP certified, to mitigate all identified hazards and pass a lead clearance prior to reimbursement from the grant.

## 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 5 CAPER Housing Needs response:

Monroe County's actions are targeted to provide more affordable housing options for suburban low to moderate-income families, seniors, residents at or below the poverty level, persons with special needs and homeless and "at-risk" homeless persons. Monroe County continued existing programs such as the Home Improvement Program (HIP), Home Ownership Assistance Program, the Housing Council's Housing Stability programs and the Rental Housing Development Program. Technical staff assistance to community-wide affordable housing and homeless committees and forums was also significant, including the Rochester/Monroe County Homeless Continuum of Care (CoC) Team and the Greater Rochester Housing Partnership (GRHP) Board of Directors.

Housing efforts were coordinated with local municipalities, non-profits, educational institutions and other public and private sector entities to address the need for affordable housing among low-mod residents. This included researching housing alternatives for all income levels of County residents, elderly and disabled persons. Homeless services were targeted to provide assistance to a variety of different homeless populations. County resources such as County of Monroe Industrial Development Agency (COMIDA) bond financing were also used for affordable housing projects that qualified.

### 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 5 CAPER Specific Housing Objectives response:

1. & 2. 2014 Affordable Rental Projects completed, under construction or proposed.

Project Name: CDS Monarch Senior Living Hard Road

- New Construction (completed)
- HOME - \$200,000
- Developer: CDS Monarch, Inc.
- Description: 46 (1-bedroom) and 4 (2-bedroom)
- Location: Webster
- Target Population: Seniors, Veterans and Individuals with developmental disabilities
- Total Units: 50
- Accessible Units: 5 (2 units for visually/hearing impaired)
- Adaptable Units: 45
- Total Project Cost: \$9,174,801

Project Name: Lifetime Residence Corp, Inc.,

- Renovation (completed)
- HOME - \$47,794
- Developer: Lifetime Residence Corporation, Inc. (Immediate Residence Corp.)
- Description: 8 (1-bedroom) and 2 (2-bedroom)
- Location: Hamlin
- Target Population: Individuals with developmental disabilities
- Total Units: 10
- Accessible Units: 10
- Total Project Cost: \$62,192

Prior years' HOME funds designated for the development of affordable rental housing have financed the rental projects detailed below. These projects are being reported because either funding has been drawn or construction is underway during the 2014 program year. Information regarding the number of accessible and adaptable units is from project developers. Descriptions of the four (4) prior year HOME RHP-CHDO funding commitments are listed below.

Project Name: Long Pond Senior Apartments

- New Construction (under construction)
- HOME - \$200,000
- Developer: PathStone Development Corporation and Rochester's Cornerstone Group
- Description: 46 (1-bedroom) and 4 (2-bedroom)
- Location: Greece
- Target Population: Seniors, and Individuals with developmental disabilities
- Total Units: 50
- Accessible Units: 5 (2 units for visually/hearing impaired)
- Adaptable Units: 45
- Total Project Cost: \$9,174,801

Project Name: Gardens at Town Center

- New Construction (completed)
- HOME - \$200,000
- Developer: Home Leasing
- Description: 1 and 2 bedroom apartments
- Location: Greece
- Target Population: elderly (age 55+ with incomes at or below 80% AMI)
- Total Units: 177 (121, 1- bedroom and 55, 2 – bedroom with one unit for maintenance staff)

- Accessible Units: 28
- Adaptable Units: 177 (8 for visually/hearing impaired)
- Total Project Cost: \$26,186,384

Also, please refer to the Home Improvement Program, First-Time Home Buyer and Foreclosure Prevention program accomplishments referenced earlier in this report.

3. The CoC requested funding under the 2014-15 CoC Super NOFA to finance forty-four (44) local projects. Projects were placed into "Tier 1" or "Tier 2" priority ranking in accordance with HUD guidelines for the Super NOFA. In January 2014, HUD announced that all of the forty-four (44) projects prioritized in Tier 1 were funded in the amount of \$11,102,896. The allocation included continuation of HUD Planning funds in the amount of \$115,400.

Other worst case housing needs are addressed through the Home Improvement Program and the Foreclosure Prevention and HECM Counseling Program. Monroe County continues to partner with not-for-profit developers to address the housing needs of persons with disabilities and provides home ownership counseling to prospective homebuyers through the Home Ownership Program.

## Public Housing Strategy

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

Program Year 5 CAPER Public Housing Strategy response: **(RHA)**

Coordination between the Rochester Housing Authority (RHA), the Fairport Urban Renewal Agency (FURA), private, governmental, health and mental health service agencies is enhanced through the County and City's support of RHA's and FURA's social services programs and RHA's safety and security program. The RHA and FURA Family Self-Sufficiency Programs link Section 8 participants and public housing residents and local agencies to provide job training, employment services, home ownership and educational opportunities. The goal of these programs is to promote families becoming more economically self-sufficient. Local government support for these programs has opened the doors for much greater success for both agencies, as more private partners are becoming involved in these programs, creating more opportunities for the participants.

Both public housing authorities offer programs to lessen the impediments for low-income families to move to higher income areas within Monroe County, such as Project-Based Vouchers, security deposit assistance, higher payment standards for low poverty areas, assistance in finding suitable housing and landlord outreach.

RHA provides support services to its residents through their involvement with many agencies. For example:

- RHA has collaborated with Anthony Jordan Health Center in a grant that provides medical and dental clinics within two RHA properties. These clinics will serve not only RHA residents but also other individuals in the surrounding community who have difficulty accessing healthcare. Transportation for those living at other locations is also available through an agreement with Jordan and Medical Motors to assist them in accessing these medical care facilities.

- RHA school children are linked with tutorial programs at two local agencies and through the City School District. RHA has made computers available in our Management and Administrative offices that are solely for the use of Parent Connect with the City Schools. This allows the parents to stay connected with their children's teachers, grades, class work, etc. RHA is collaborating with the Boy Scouts of America to start troops at the resident sites and with the University of Rochester Medical Center, Center for Community Health offering 10 week nutritional and exercise programs

for families with children ages 2-16. In December, we were able to provide Holiday toys to resident children ages 1-14 through our Collaboration with the Pirate Toy Fund.

- RHA refers residents to pre-employment training services provided through Monroe County BOCES, Office of Adult & Career Education Services (OACES), Rochester Educational Opportunity Center (REOC), private businesses and other local agencies. Families who require soft skills training or employment assistance are referred to RochesterWorks for assistance.

RHA's Resident Services department has partnered with Consumer Credit Counseling Service of Rochester to provide credit and budget counseling as well as money management for residents to learn budgeting skills and skills to repair damaged credit.

Financial Literacy counseling is provided to families to teach, inspire, and empower residents in their financial decisions in life. RHA's collaboration with NeighborWorks, the Housing Council at PathStone and Regional Center for Independent Living provides residents with homebuyer counseling so they are provided with the tools and resources to make informed home buying decisions.

Resident Services staff provides families with on-going case management to help them achieve their goals of self-sufficiency. Barriers to achievement of those goals are identified and addressed through referrals to various community agencies that can help the family to improve or maintain their independence.

Rochester Housing intends to ensure that, to the maximum extent feasible, training and employment opportunities created through the expenditures of Section 3 Covered Assistance will be provided to Section 3 Qualified Individuals and Business Concerns. Additionally, Rochester Housing Authority is stepping up its promotion to add Section 3 contractors to its list of eligible contractors for bidding. We are also developing more training alternatives for residents to develop skills in construction related trades with the goal of adding them to our contractor list. RHA currently has training scheduled specifically for an Energy Performance Contract work being performed by RHA. There will be a need to fill 20 temporary positions that these Section 3 participants/residents will be trained and hired to perform. It is intended that this will give our residents the skills and experience to further their careers, as well as a properly trained and skilled workforce to complete this project.

Using funding from Replacement Housing Fund Grants, the Capital Fund Program and local works, RHA was able to build three family townhouses at its Harriet Tubman Estates complex. These units are two bedroom townhouses approximately 1,000 square feet in size. These units are completed and occupied with persons from the Public Housing two bedroom waitlist, which is the longest and largest PH waitlist that RHA manages. RHA is in the process of adding two additional units to this site, one being handicapped accessible. They should be completed within the next year.

Public housing resident initiatives are in place at Antoinette Blackwell Estates, a 100-unit elderly facility in the Town of Henrietta. It is the only suburban public housing project that is maintained by RHA outside of the City of Rochester. RHA encourages and supports their tenant associations. Community space is made available and recreation and support services are offered to all residents. The programs vary and are ongoing throughout the year.

In an effort to improve on the health of Public Housing Tenants and to reduce maintenance costs associated with the rehabilitation of units effective 10/1/13, all Public Housing units became smoke free units. Tenants are no longer permitted to smoke in their units or in common areas. Smoking is allowed only in designated locations outdoors.

Public Housing Delivery System Gaps

The need for housing by low to moderate-income residents of the region far exceeds local available resources, resulting in Monroe County's priority need for affordable rental housing. Those most in need of affordable rental housing are low to moderate-income families with many children, who are increasing in the suburbs, together with poverty-level disabled persons and senior citizens. Both local Public Housing Agencies have been active in trying to increase the number of housing choice vouchers available to help meet this need.

2014-15, RHA was been awarded 303 new project based and tenant protection vouchers from HUD. RHA has awarded 124 project based vouchers, out of their existing voucher stock, to four (4) new or substantially renovated housing developments. RHA administers nineteen (19) Permanent Supportive Housing grants, which provides rental assistance for approximately 800 formerly homeless and disabled families.

There continues to be a significant need in the FURA program area for housing. Several assisted housing projects like Fairport Apartments, Pines of Perinton, and Phillips Village have both waiting lists and substantial waiting periods. The shortfall in capacity is especially critical for elderly and handicapped units, and each facility rejects a significant percentage of applicants due to inadequate income.

Fairport's Section 8 program also demonstrates a demand for subsidized housing, with over 800 people on the waiting list, the decision to close the list was made. Applications are no longer accepted, an unfortunate trend that may continue for another year.

There is a diverse supply of housing available for use by Section 8 tenants. The condition of housing stock and availability of apartments is generally good. This includes units within assisted projects, units in unassisted duplexes, singles, triples and quads, as well as units in row house configurations. Scattered site units are available throughout the program area, but are clustered more densely in comparatively lower-income neighborhoods. While single bedroom units are more prevalent, there are relatively few units suitable for the elderly. Typical deficiencies include inconvenient location, too many stairs/poor access and unsuitable surrounding units. Three bedroom units do exist, but are difficult to locate.

The Fairport IDA awarded tax incentives for the development of a 71-unit senior (55+ years of age and older) residential project in 2014. The High View Senior housing project is still in the approval process.

The Fairport Housing staff provided assistance in locating units for Section 8 program participants. Landlords were encouraged to contact staff when they had available units. Participants with specific impediments or obvious deficiencies in locating housing were counseled and advised by staff – and conversely, staff maintained excellent relationships with related agencies that are able to augment staff counseling efforts.

The Rental Assistance Demonstration (RAD) program was developed by HUD as a tool to convert public housing properties to Section 8 rental assistance. Conversion would allow public housing agencies to access additional funding to make needed physical improvements to properties. In 2013, the RHA contracted with an outside consultant to review all its developments for possible conversion through RAD. Three developments were found to have the financial capacity to be converted without financing and applications, with RHA Board approval. RHA forwarded an application to HUD on December 6, 2013 for the following developments: Blackwell Estates, Glide Court, Elmdorf Apartments to be considered for conversion.

FURA's focus of outreach to families was targeted to the neediest populations. Staff maintained close contact with Monroe County Department of Social Services, housing non-profits (Housing Council), Regional Council on Aging, NYS Office of Aging, and other agencies in efforts to assist potential tenants and identify services (ie: weatherization, child care, work force training) that are

beneficial to program participants. This network approach has been successful in targeting and leveraging resources.

Fairport Urban Renewal Agency (FURA) has established mobility agreements with the Rochester Housing Authority (RHA) and the Housing Council to assist very low-income families living in high poverty area to relocate within our market.

Staff are familiar with property rehabilitation and residential assistance programs, and encourage landlord participation to help develop relationships. The housing program continued its policy of providing interest free credit to the Section 8 account to enable landlord payments to be sent out on time.

The County and City have assisted in revitalizing neighborhoods surrounding public housing developments in many areas. New schools and community centers have been built. Road reconstruction and street maintenance are conducted on a regular basis. Fire and police protection efforts are ongoing at high levels of service. The Rochester Police Department works cooperatively with RHA in local drug elimination efforts and assisting in developing crime reduction strategies. RHA tenants regularly use nearby schools and recreation centers for educational needs and after school programs. The County and City economic development efforts are ongoing and touch upon many neighborhoods where public housing is located.

## **Barriers to Affordable Housing**

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

*The Analysis of Impediments to Fair Housing Choice in Monroe County, New York 2005 (AI)* identified a complex series of issues frequently interacting with one another to limit housing choice for protected class members. Fair housing actions frequently take time to accomplish and cross over program years and funding cycles. The Fair Housing Action Plan continues to address the priorities identified in Phase I. The Fair Housing Action Plan was designed to eliminate barriers to fair housing choice by establishing four basic priorities and strategies within each priority in order to address these issues:

- Provide Fair Housing Education and Outreach
- Increase the Supply of Assisted Housing
- Promote Sustainable Minority Home Ownership
- Expand Appropriate Housing Opportunities for Minorities, Seniors, Disabled and Homeless Populations

The plan identifies specific actions and key partners and establishes performance measures for each action.

First steps in implementing the Fair Housing Action Plan included meeting with key partners, explaining the importance of affirmatively furthering fair housing, the role of the AI in determining actions needed to address identified barriers and describing their role in the initiative. Each action required a reporting mechanism that was specific to the actions taken by the organization. The consultant was available to answer questions and clarify reporting requirements as activities got underway.

Following is a brief summary of key actions taken to address priorities:

Priority One: Provide Fair Housing Education and Outreach

Priority One engaged the Greater Rochester Association of Realtors (GRAR). GRAR has a membership of over 3,000 agents, and well over 90% of all local sales are completed through a

Realtor member. GRAR provided fair housing education to 430 member agents completing continuing education in fair housing to meet New York State license requirements. The Housing Council at PathStone made fair housing education a component of landlord workshops as well as tenant education workshops.

Priority Two: Increase the Supply of Affordable Housing

Affordable housing projects funded in part by Monroe County continue to be surveyed to determine whether the demographic profile of residents reflect the demographics of the larger community. Surveys of a sample of census tracts of residents' last address were completed to determine whether low-income minority residents coming from high poverty areas were able to access affordable housing in a variety of suburban locations. Results documented high success levels in housing choice for low-income minority residents of the Monroe County area.

Monroe County continues to present their annual Land Use Decision Making training classes. These classes address issues that planning and zoning board members may face, including applications concerning locating affordable housing.

The consultant was the speaker at an educational forum for The NY State Coalition of Property Owners & Businesses, Inc, an association of small landlords in the metropolitan Rochester area. She discussed local demographic change and the importance of including Section 8 voucher holders and those receiving public assistance as tenants. The consultant also answered questions regarding the HUD concept of affirmatively furthering fair housing. The consultant provided fair housing education to 30 Realtor landlords operating in Monroe County and Realtors selling investment property in Monroe County in a separate class. Discussion included landlord obligations under state and federal fair housing laws, as well the obligations of workers they employ to maintain and repair their properties. In addition, the consultant taught fair housing education to 42 Realtors as part of New York State's required periodic fair housing training.

Priority Three: Promote Sustainable Minority Home Ownership

HomesteadNet, owned by the GRAR, is the primary internet source for detailed information on properties listed for sale in the greater Rochester and Finger Lakes region. GRAR continues to take steps to advertise HomesteadNet broadly and have added the ability for home buyers to get contact information for individual Realtors based on language, thus enhancing housing choice for buyers with limited English proficiency. GRAR is committed to inclusive advertising practices and uses diverse human models to reflect the diversity of this community.

The Fair Housing Action Plan is also designed to increase and sustain first time home buyers in the private market, with particular attention to increasing minority home ownership. The Home Ownership Assistance Program, administered by the Housing Council at PathStone, provided counseling, education, referral and financial assistance to lower income persons in Monroe County who are trying to buy a home. In the past year, Monroe County provided home ownership education and home purchase subsidies to qualifying first-time home buyers through this program.

The Consultant initiated *The Analysis of Impediments to Fair Housing Choice in Monroe County, NY 2015* process by conducting a series of focus groups and interviewing various local stakeholders. The Consultant has also completed a literature review using available local surveys and studies, US Census and other resources. These include reviewing *Out of Reach, 2015*, an annual publication of the National Low Income Housing Coalition, Washington, D.C.; *Paying More for the American Dream VI: Racial Disparities in FHA/VA Lending*, a collaborative project of the California Reinvestment Coalition (CRC), Empire Justice Center, Massachusetts Affordable Housing Alliance (MAHA), Neighborhood Economic Development Advocacy Project (NEDAP), Ohio Fair Lending Coalition, Reinvestment Partners, and Woodstock Institute; *Concentration of Poverty in the Nine-County Greater Rochester Area, December 2013*, The Community Foundation, Rochester, NY; *Confronting Suburban Poverty in America*, Elizabeth Kneebone and Alan Berube, 2013, Brookings Institution Press,

Washington, DC; relevant articles appearing in *The Democrat and Chronicle*, Rochester, NY, 2010-2015; *Homeless Resolution Strategy, Final Report, Rochester and Monroe County*, revised November 2012; employment trends and educational achievement of local job seekers and relevant *American Community Survey* and US Census data.

## **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.

Program Year 5 CAPER HOME/ADDI response:

1. Please refer to General Question 1 and Specific Housing Objective 1.
2. HOME Match Report (HUD-40107-A) is attached.
3. HUD Form 40107 is attached.
4. Assessments
  - a. Monitoring Visits and On-site inspections of HOME-assisted rental units were conducted to determine compliance with the property Housing Quality Standards (HQS) of 24 CFR 92.251 and to verify that the information submitted by the owners is in accordance with the requirements of 24 CFR 92.252. Inspections were based on a sufficient sample of units to ensure compliance with all Section 8 Housing Quality Standards at 24 CFR 92.504.

Prior to the construction/redevelopment phase of projects, County staff conduct the following: assist developers to ensure that construction bid documents and related technical and design specifications contain all applicable federal regulations; and, pre-construction meetings with the development team including the general contractor/subcontractors to assure compliance with all HUD federal requirements, including Section 3 Provisions, MBE/WBE, Davis-Bacon (if applicable), and HQS requirements before the project is bid.

During the construction/redevelopment phase of projects, County staff conduct the following: attend monthly and final on-site construction meetings and inspections to assure compliance with all HUD federal requirements, including Section 3 Provisions, MBE/WBE, Davis-Bacon (if applicable), and HQS requirements during project construction phase.

After the project is completed/redeveloped and occupied, County staff conduct the following: HQS inspections based on a sufficient sample of units to ensure that owner maintains units in compliance with Section 8 HQS; monitoring visits to ensure that project owner maintains the appropriate mix of very low-income and low-income tenants throughout the compliance period,

properly collects the required information and annually determines the income eligibility of tenants in the assisted units, and collects rents that do not exceed the HOME maximum rents when adjusted for tenant-paid utility allowance.

Monitoring visits are conducted on the following schedule: every three years for projects containing 1 to 4 units; every two years for projects containing 5 to 25 units; and every year for projects containing 26 or more units. All monitoring visits conducted during the 2013-14 program year had very positive outcomes with only minor concerns that were readily addressed by project management. The projects within Monroe County's HOME portfolio continue to be well managed and maintained. For the period of August 1, 2014 – July 31, 2015, 31 projects were monitored, (See attached Monitoring report for detailed information).

b. Affirmative Marketing Strategy, Non-Discrimination and Equal Opportunity Policies and Procedures

Monroe County implements its HOME Program consistent with all statutory and implementing regulation requirements pertaining to affirmative marketing, discrimination and equal opportunity which are contained in CFR Part 92 of the HOME Program regulations. Measures to ensure this compliance include, but are not limited to the following:

1. Affirmative marketing policies and procedures and fair housing laws discussed with property owners and tenants directly.
2. A statement of the objectives, policies and procedures of the County pertaining to affirmative marketing and Federal Fair Housing Laws is included in all media releases, advertisements, public notices and informational meetings as part of the program description. This statement and a description of the applicable fair housing laws is in the information provided to property owners and tenants, including using the Equal Opportunity logo, slogan or statement in all media announcements pertaining to the program.
3. Developers of County affordable housing projects are required to submit a comprehensive Affirmative Fair Housing Marketing Plan for review and approval and to adopt affirmative marketing procedures and requirements for all Monroe County assisted housing projects. Affirmative marketing steps consist of actions to provide information and otherwise attract eligible persons from all racial, ethnic and gender groups in the housing market area to the available housing. In developing the Marketing Plan, a determination is made on whether the proposed Plan includes actions that are appropriate for attracting the target group(s) and whether the actions are likely to achieve the objectives of the Plan. Monroe County ensures that the Plan is in compliance with HUD's handbook, Affirmative Fair Housing Marketing Requirements. This determines the effectiveness of the marketing program, the appropriateness of commercial media and brochures, other actions taken to attract the target group, the effectiveness of the proposed community contracts, and the training of staff and participants regarding the Fair Housing Act. Particular emphasis is placed on displaying the Equal Housing Opportunity logo and slogan on all advertising materials.
4. Each participating investor/owner is required to execute a certification to affirmatively market vacant units. This document assures that the owner agrees: to include the Equal Opportunity logo or slogan in all advertising; submit written vacancy notification to the appropriate public housing agency and to The Housing Council; advertise vacant units in alternate outlets; provide the booklet, Fair Housing - It's Your Right (HUD-1260-FHEO) to tenants; and to implement the Equal Employment Opportunity (EEO) non-discriminatory hiring policy.
5. The County determines, based on the characteristics of the individual community, the appropriate steps necessary to reach those potential tenants and property owners least likely to participate. Examples that may be appropriate include the use of alternate-audience media,

contacts with community organizations, churches, fair housing groups and housing and family counseling agencies. An existing contractual agreement to provide fair and affordable housing counseling services through The Housing Council is used frequently. The County has inserted an additional clause into the existing contract with The Housing Council that requires special Fair Housing public television and radio advertisements. Due to the diverse nature of the urban county consortium, the specific steps, facilities and racial/ethnic groups to be addressed will be analyzed and determined as projects are identified.

6. The property owner is required to report to the County the existence of all vacant units not filled by PHA referral. PHA referral itself is appropriate affirmative marketing action. The existing Section 8 Program is administered primarily in the City of Rochester, outside the program area, in an area which is much more ethnically varied than potential areas for HOME-funded projects. Property owners will report all racial, ethnic and gender characteristics concerning tenancy before and after rehabilitation and relocation data for displaced households. Applicants for tenancy will be defined as those potential tenants who personally inspect the units or those who inquire in person, by telephone or by mail to the property owner or project rental office.

7. Counseling is offered to all existing and potential tenants. This counseling includes subjects such as federal fair housing, equal housing opportunity laws, and tenant's and property owner's rights in all areas concerning non-discrimination and equal opportunity issues.

8. The HOME Program is incorporated into all existing non-discrimination, equal opportunity, fair housing, minority contractor and affirmative marketing procedures undertaken in the administration of the booklet (HUD 1260-FHEO), posters and fair housing flyers are made available to municipalities, landlords and tenants. Such fair housing information and visual aids are also distributed at all County public meetings regarding the HOME Program.

9. To promote awareness of Fair Housing, the County joins with other agencies to promote Fair Housing Month each year. Local officials are asked to issue an appropriate proclamation and events are planned to increase the community's understanding of what constitutes Fair Housing and how it can be advanced. Efforts are made to discuss Fair Housing in the media and in educational seminars.

10. The impacts of property owner and County affirmative marketing activities are assessed continually and reviewed annually. A survey or equivalent analysis of existing census and community data is conducted to determine racial, ethnic and gender characteristics of the renter and property owner population of the neighborhoods where a HOME-funded project will be located. This information is compared to the data compiled through the HOME Program to assess the impact of affirmative marketing activities. Should deficiencies become apparent, the following actions shall be considered and, if feasible, appropriate choices will be undertaken as corrective action: advertisements will be promulgated, within Monroe County, in areas of greater minority concentration, which encourage potential minority tenant participation; alternate-audience media will be utilized to encourage potential minority tenant and homeowner participation; direct contact will be made with community organizations, churches, fair housing groups and counseling agencies to promote participation in the program by areas least likely to be aware of the HOME Program.

c. Outreach to Minority and Women-Owned Businesses

CD conducts targeted marketing to solicit and encourage participation by minority and women-owned contractors in the Home Improvement Program. General contractors associated with the development of affordable rental housing handle outreach to minority and women owned businesses as subcontractors. Affordable housing contractors are encouraged to solicit the participation of qualified and NYS certified small and minority and women-owned business enterprises (M/WBE) for all federally financed and assisted construction projects administered by

Monroe County. This includes placing M/WBE on solicitation lists for subcontractors or suppliers. CD staff work with contractors in making good faith efforts to include M/WBE in projects and provide information on source material containing M/WBE firms. The results of these efforts are reflected in the Contractor and Subcontractor Activity Report (HUD 2516 form) submitted annually.

## HOMELESS

### Homeless Needs

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

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 5 CAPER Homeless Needs response:

1. 2. & 3.

On May 20, 2009, President Obama signed into law a bill to reauthorize HUD's McKinney-Vento Homeless Assistance programs. The bill was included as part of the Helping Families Save Their Homes Act. The McKinney-Vento reauthorization provisions are identical to those included in two bills, both known as the Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act. Interim Rules have been promulgated for both the Emergency Solutions Grant and Continuum of Care Programs components of the HEARTH Act.

Under the HEARTH Act, HUD has developed new regulations for homeless service providers. These regulations include a new definition of homeless. The bill modifies the definition of homelessness and also allows grantees to use some Continuum of Care funding for people who are not homeless under HUD's definition, but are homeless under definitions of homelessness used by other federal agencies.

HUD's existing definition of homelessness includes people living in places not meant for human habitation (the streets, abandoned buildings, etc), living in an emergency shelter or transitional housing facility, and although it is not specifically described in the McKinney-Vento statute-facing the loss of housing within the next seven days with no other place to go and no resources or support networks to obtain housing.

The HEARTH Act adds to this definition, situations where a person is at imminent risk of homelessness or where a family or unaccompanied youth is living unstably. Imminent risk includes situations where a person must leave his or her current housing within the next 14 days with no other place to go and no resources or support networks to obtain housing. Instability includes families with children and unaccompanied youth who: 1) are defined as homeless under other federal programs (such as the Department of Education's Education for Homeless Children and Youth program), 2) have lived for a long period without living independently in permanent housing, 3) have moved frequently, and 4) will continue to experience instability because of disability, history of domestic violence or abuse, or multiple barriers to employment.

A community can use up to 10 percent of its Continuum of Care (CoC) funding to serve families with children and unaccompanied youth who are homeless because they are living unstably (as described in the previous paragraph) or meet the definitions of homelessness used by the Department of Education or any other federal agency. Communities with low rates of

homelessness-those with fewer than 0.1 percent of their population homeless in their most recent point-in-time count can use more of their funding to serve families with children and unaccompanied youth who meet the definition of homelessness used by the Department of Education or another federal agency. Approximately 20 percent of CoC's, mostly rural and suburban, had homelessness rates below 0.1 percent in 2005.

Among other changes, the HEARTH Act consolidated the three separate McKinney-Vento homeless assistance programs (Supportive Housing program, Rental Assistance – Permanent Supportive Housing Program (fka: Shelter Plus Care program), and Section 8 Moderate Rehabilitation SRP program) into a single grant program known as the Continuum of Care (CoC) Program. The CoC Program is designed to assist individuals (including unaccompanied youth) and families experiencing homelessness and to provide the services needed to help such individuals move into transitional and permanent housing, with the goal of long-term stability. More broadly, the program is designed to promote community-wide planning and strategic use of resources to address homelessness; improve coordination and integration with mainstream resources and other programs targeted to people experiencing homelessness; improve data collection and performance measurement; and allow each community to tailor its program to the particular strengths and challenges within that community.

Across Monroe County/Greece/Irondequoit/Rochester, CoC Program funding of \$11,102,896.00 was approved, and made public on January 23, 2015. That funding includes \$115,400 of CoC Planning grant dollars, \$251,880 of HMIS funding, \$466,465 of Support Services Only funding (employment, healthcare, and legal services related to assisting homeless persons to secure permanent housing), \$1,054,110 in transitional housing funding, \$126,153 in Permanent Housing/Rapid Rehousing funding, and \$9,088,888 in permanent housing funding.

## 2. Homelessness

For the 2014 CoC Program NOFA, Renewal and reallocation (new) applications were guided by the following local priorities:

- o CoC Planning
- o HMIS
- o Permanent Housing
- o Permanent Supportive Housing
- o Rapid Rehousing
- o Transitional Housing
- o Supportive Services Only for Permanent Supportive Housing
- o Special Needs Populations

Additionally, as part of its review process, the CoC requires that all projects align with HUD priorities and strategies and must comply with the HEARTH Act.

HUD's goals, as articulated in its Strategic Plan and *Opening Doors: Federal Strategic Plan to Prevent and End Homelessness*, are as follows:

- o Meet the Need for Quality Affordable Rental Homes: End homelessness and substantially reduce the number of families and individuals with severe housing needs
- o End chronic homelessness by 2015
- o End veteran homelessness by 2015
- o End family and youth homelessness by 2020

In addition to the above Homeless CoC 2014 "Super NOFA Funding" priorities, the Rochester/Monroe County Homeless Continuum of Care 2011 "Community" Priorities include the implementation of this community's Ten-Year Plan to End Homelessness, "Housing Options for All", and the following priorities which are not in any ranked order:

- Consistent, quality case management services available across the continuum
- Employment/Job placement services for special needs populations
- Improvements to, and coordination of, discharge planning processes and protocols
- Increase homelessness prevention services
- Community education and advocacy around issues of homelessness and housing
- Accessing mainstream services/systems advocacy
- Cross systems approach to meeting the needs of the homeless
- "Putting a face on Homelessness", decreasing NIMBYism

Below are the projects funded by HUD:

Unity – Health Care for the Homeless – \$91,343  
Homeless Management Information System – \$251,880  
Spiritus Christi – Jennifer House – \$81,524  
CFC – Lafayette Housing I – \$147,579  
CFC – Lafayette Housing II – \$139,096  
MCLAC – Legal Services for Homeless – \$34,240  
Spiritus Christi – Nielsen House – \$96,300  
NYSOMH/DePaul Community Services – \$188,678  
Ctr for Youth – Parenting Teens – \$83,935  
Salvation Army PH Support Services CH – \$38,910  
NYSOASAS/Providence Housing Rent Assist – \$483,377  
RHA/MCDHS Rent Assist – \$2,662,847  
RHA/Salvation Army Rental Assist – CH – \$515,504  
RHA/YWCA/Sojourner Rent Assist – \$243,847  
RHA/Providence Son House Rent Assist – \$127,307  
RHA/Strong Ties Rent Assist – \$215,739  
RHA/Unity Rent Assist for CH – \$195,478  
RHA/VOA Rent Assist – \$1,034,762  
RHA/Veterans Outreach Center Rent Assist – \$103,991  
RHA/VOA Rent Assist – \$884,001  
Salvation Army – Safe Haven – \$254,018  
Sojourner House – PSH Case Mgmt – \$90,726  
Tempo – Greece Commons I & II – \$267,823  
Unity Supportive Services for Chronically Homeless – \$42,006  
Ctr for Youth – TLP – \$129,288  
VOC – Richards House – \$77,577  
Volunteers of America Permanent Supportive Housing – \$151,240  
VOA – PSH for the Chronically Homeless – \$229,159  
VOA – Project ReDirect – \$298,876

Wilson Commencement Park – \$141,675  
YWCA – Transitional Housing – \$126,153  
DePaul Carriage House – \$22,784  
DePaul Cornerstone – \$77,939  
Sojourner House – Transitional Housing – \$136,293  
Hillside TL Laburnum Crescent Supportive Housing Program – \$53,500  
Frederick Douglass Apartments - \$15,776  
CoC Planning - \$115,400  
RHA/1630 Dewey Avenue Permanent Supportive Housing Rent Assist – \$373,895  
RHA/JPC Permanent Supportive Housing Rent Assist - \$150,509  
RHA/OMH SPOA Permanent Supportive Housing Rent Assist - \$14,986  
RHA/OMH Permanent Supportive Housing Rent Assist - \$98,164  
RHA/SPOA Permanent Supportive Housing Rent Assist - \$171,704  
VOA Permanent Housing Program - \$217,746  
VOA/WNY Permanent Supportive Housing - \$242,770  
Voter’s Block Community - \$25,551

TOTAL                      \$11,102,896

CoC Homeless Population and Subpopulations

Point in Time (PIT) is a count of all sheltered homeless individuals taken at the same date and time by all homeless providers in Rochester and Monroe County. The following PIT reflects the sheltered and unsheltered homeless populations at midnight on January 28, 2015.

Homeless Population

Sheltered in Emergency Housing

- Number of Individuals (Households without Children)- 257
- Number of Households with Dependent Children – 77
  - Total Total Number of Persons in these Households (adults & children) - 231
- Number of Households with only Children (parenting teens and unaccompanied youth) - 10
- Total number of Persons in these Households - 11
- Total Persons = 499

Sheltered in Transitional Housing (includes Safe Haven)

- Number of Individuals (Households without Children) - 84
- Number of Households with Dependent Children – 47
  - Total Number of Persons in these Households (adults & children) - 125
- Number of Households with only Children (parenting teens and unaccompanied youth) - 5
- Total Number of Persons in these Households - 6
- Total Persons = 215

Unsheltered

- Number of Individuals (Households without Children) - 35
- Number of Households with Dependent Children – 0
  - Total Number of Persons in these Households (adults & children) – 0

- Number of Households with only Children (parenting teens and unaccompanied youth) - 0
- Total Number of Persons in these Households - 0
- Total Persons = 35
- TOTAL Sheltered in Emergency and Transitional Housing, Safe Haven, and Unsheltered = 762

#### Homeless Subpopulations

##### Sheltered and Unsheltered

- Chronically Homeless Individuals – Sheltered (in Emergency Shelter and Safe Haven) - 39
- Chronically Homeless Individuals – Sheltered – 49 Unsheltered – 10
- Chronically Homeless Families – Sheltered – 0 Unsheltered – 0
- Chronically Homeless Families – Sheltered – 0 Individuals – 0
  - Number of Persons in These Households – 0
- Total Chronically Homeless Sheltered & Unsheltered – 49
  
- Adults with Serious Mental Illness – Sheltered - 92; Unsheltered – 14; Total - 106
- Adults with Substance Use Disorder – Sheltered - 101; Unsheltered - 13; Total - 114
- Veterans – Sheltered - 6; Unsheltered - 1; Total - 7
- Adults with HIV/AIDS – Sheltered - 3; Unsheltered - 1; Total - 4
- Victims of Domestic Violence – Sheltered - 110; Unsheltered - 9; - Total - 119
- Unaccompanied Youth (Under Age 18) – Sheltered - 114; Unsheltered – 4; Total 118
- TOTAL Subpopulations Sheltered and Unsheltered = 517 (This is a duplicative number - a person could be included in multiple categories)

### 3. Chronic Homelessness

The CoC developed its ten-year plan to end homelessness in Rochester/Monroe County entitled "Housing Options for All - A Strategy to End Homelessness in Rochester/Monroe County", which was released in 2007, is available at <http://www.rochesterhomeless.com> or in the Monroe County CD office. Phase I of the ten-year plan included contracting with an independent consultant who developed a 2008-2017 "Supportive Housing Production Implementation Plan" (SHPI), which was completed in February 2009. The SHPI study included the following research components:

1. A comprehensive review of current emergency housing stock and inventory of existing and planned supportive housing available including location, population served, services provided and financing sources for services in Rochester and Monroe County
2. Detailed assessment of housing gaps for specific subpopulations (special needs, chronically homeless, families and youth)
3. Appropriate mix of housing types and models to fill the overall need with focus on homeless populations with incomes below 30% AMI
4. Identification of potential developers and service providers to facilitate the provision of supportive housing development
5. Detailed projections for types and quantities of housing units required to fill the overall need
6. Short and long-term cost projections for the provision of supportive housing developments i.e. Housing First model and permanent supportive housing
7. Map of all available federal, state, local, and private supportive housing development resources with highlighted examples of projects having multiple financing sources
8. Review of appropriate case management services
9. Potential implementation timelines
10. Presentation of Implementation Plan to key community stakeholders

- Identify potential new funding sources for implementation of the ten-year plan

The SHPI Plan recommends the simultaneous pursuit of three (3) major components in ending homelessness:

1. Prevention
2. Comprehensive Support Services
3. Affordable Permanent Housing\*

\* *Affordable permanent housing is a means to address all three of the major components noted above to serve people who are most likely to be homeless repeatedly or for long periods of time.*

This SHPI Plan is designed to build on the existing foundation of the current 698 supportive housing units in Monroe County and to provide guidance and ideas for increasing the availability of supportive housing over the ten-year period.

Recognizing the more recent changes in the homeless system, particularly the clarity provided by the HUD Interim Rule and Federal Homeless Strategy, in 2012, the City of Rochester contracted with DePaul Key Housing, in partnership with Housing Innovations, Inc. and Dennis Culhane, University of Pennsylvania, to conduct a study to examine the strengths and gaps in services in the community for individuals in danger of becoming homeless or homeless already. The purpose of the study was the identification of the program and facility elements required to establish a comprehensive system for rapid housing and re-housing solutions for the homeless and those at risk of homelessness. "The Homeless Resolution Strategy Rochester and Monroe County Final Report" released in March 2013 presents an analysis of current housing need for the homeless population, incorporating new models for diversion and rapid rehousing into the overall housing development needed. A key aspect of this study was a focus on a coordinated intake and assessment system as a mechanism for process improvement.

The Homeless Resolution Strategy Report included the following elements:

1. Best practices that may be used across the system.
2. Rationale and potential models for implementation of a Coordinated Access System across all services/programs.
3. An approach to eliminate the use of hotels.
4. Estimates of number and types of emergency shelter, diversion opportunities, rapid rehousing and permanent supportive housing options needed to address community need.

These recommendations are integrally linked to one another and as a result, the Homeless Resolution Strategy Report provides a blueprint for the Rochester/Monroe County community to transform the current homeless system to create an improved community response that is person-centered, outcome-driven and designed to avoid episodes of homelessness via diversion or shortening the length of time a household remains in the homeless system.

Current Chronic Homelessness Strategy (2006-10) - Past strategies continue as a strong framework on which we can build and they remain an integral part of our current strategy. We continue to provide strong support for the movement to serve the chronic homeless through our community's ShelterPlus Care programs that occurs mostly through non-traditional case management programs. The support services, in addition to the affordable, permanent housing, have allowed the chronically homeless to remain in permanent housing.

HUD has also released a guidance document for prioritizing chronically homeless persons for entry into Permanent Supportive Housing Programs (July 28, 2014; HUD "Notice of Prioritizing Persons Experiencing Chronic Homelessness and Other Vulnerable Homeless Person in Permanent Supportive Housing.."). This document provides guidance to CoC's for establishing standards for order of priority access to PSH beds. As part of the 2014 Super NOFA process, all CoC-funded permanent supportive housing projects continued their pledge to provide preference to the chronically homeless for 100% of its turnover units.

HMIS data elements include several questions that provide the number of chronically homeless persons in a given time period, length of time homeless, number of homeless episodes, prior living

situation and disability. The Point-in-Time Survey conducted on January 28, 2015 identified 49 individuals as being chronically homeless, 10 of whom were unsheltered. The Point-in-Time Survey conducted on January 29, 2014 had identified 28 individuals as being chronically homeless, all of whom were unsheltered.

The CoC Team continues to monitor the CoC system to ensure that the chronically homeless are accessing mainstream financial entitlements and service providers in a timely manner. A major focus of recent activities has been to work with unsheltered chronically homeless person identified as living in parking garages and other places not meant for human habitation and locating alternate housing options. The community was successful in the past year in relocating a number of persons from an “encampment” to a housing situation that was suitable. Community providers continue to work with these persons to further engage them in services.

The CoC last year established a Chronic Homeless Subcommittee to address the issue of chronic homelessness in our community. There has been an increased focus on identifying individuals and families who are chronically homeless and working to secure permanent supportive housing for these households that can meet their needs. Of particular concern is the unsheltered homeless population who sleep in multiple locations throughout the community. Outreach teams now go out bi-monthly and work to engage individuals offering placement and support in safe alternative sites. The community team has been successful in locating supportive housing for many of these individuals.

In 2015, the Chronically Homeless Workgroup (Workgroup) of the Rochester/Monroe County Homeless Continuum of Care reported that “through persistent outreach to the chronically homeless, the team of service providers has been successful in permanently housing 57 (44%) of individuals. Another 20% are living in temporary housing such as homeless shelters, Safe Haven, treatment facilities, and transitional housing” to support the fact that they had addressed chronic homeless unsheltered person’s street homelessness. The Workgroup meets monthly to compare notes, compile data on unsheltered persons, and follow-up with case management, social work, housing specialist, and healthcare support, and plans toward permanent housing for all unsheltered individuals. The Workgroup reported that those with a higher level of need were assessed and prioritized for the community’s available Permanent Supportive Housing (PSH) vouchers. Forty individuals were identified as meeting the need and eligibility criteria for PSH. Within the list of individuals were ranked on a scale of 1-3 with 1 being the highest level of need. Factors that were considered in the prioritization process were length of time on the street, age, and medical conditions. Within the 40 identified, 22 were determined to have the highest level of need (1), Four (4) had a mid-level of need (2) and Fourteen (14) were at a lower level of need (3). Some individuals fell at a lower level due to inability to actively engage with service providers to take steps towards securing PSH.

## **Specific Homeless Prevention Elements**

1. Identify actions taken to prevent homelessness.

Program Year 5 CAPER Specific Homeless Prevention Elements response:

HOPE Ministry provides direct rental assistance to low-income individuals and families. The majority of HOPE Ministry’s assistance goes to emergency rent/mortgage payments with the ultimate goal of preventing homelessness.

Also, please refer to the Home Improvement Program, First-Time Home Buyer and Foreclosure Prevention program accomplishments referenced earlier in this report.

## Homeless Emergency Shelter Grants (HESG)

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 5 CAPER ESG response:

The Emergency Solutions Grants (ESG), focused on rapid re-housing as well as a community wide coordinated access outreach program. Assistance was provided under the joint County/City Rapid Rehousing Partnership Program to a total of 480 households. Eligible activities include short or medium term rental assistance, and financial assistance (security or utility deposits, moving costs, etc.) Non-financial assistance included housing relocation or stabilization services such as housing search, mediation or outreach to property owners, and time-limited housing stability case management services to maintain households in stable permanent housing. Monthly tenant education workshops are conducted at area shelters by The Housing Council to increase knowledge of Tenant Rights and Responsibilities as households move to permanent housing. The RRH Partnership Program, in collaboration with MCDHS, provides workshops for landlords and potential landlords to educate them on effectively housing the formerly homeless population and continually works to increase the list of available units in the community for those exiting a homeless situation. These rapid rehousing activities are similar to those previously funded under Homelessness Prevention and Rapid Re-Housing Program (HPRP) as part of the American Recovery and Reinvestment Act. Rapid re-housing activities can serve people who are literally homeless, are at or below 30 percent of the area median income (AMI) and experience moderate barriers to locating and remaining in permanent mainstream housing.

Funding was jointly provided under the Street Outreach component for the implementation of the HUD required Coordinated Entry System. CCSI serves as the Lead Agency for collaboration between CCSI, Catholic Family Center and 2-1-1/LIFE LINE for the implementation and operation of this community-wide process. ESG-funded implementation activities began in January 2015, with the establishment of 2-1-1/LIFE LINE as the community's primary point of contact to access emergency shelter placement during "after-hours" – evenings, nights and weekends. A total of 1,345 individuals were assisted.

The above outcomes reflect a combined outcome from two funding cycles, the 2013-14 and 2014-15 program year. The 2013-14 funds were not expended until after the program year closed.

1. ESG applications for the 2014-15 program year were solicited in collaboration with the City of Rochester, with a total of 15 applications received from agencies providing homeless services. Monroe County funded two (2) agencies from its 2014-15 funding round to administer 3 programs. The Rapid Rehousing Program is a community collaboration, with Coordinated Care Services, Inc. serving as the Lead Agency. The participating organizations in the collaboration were Alternatives for Battered Women (nka: Willow Domestic Violence Center), Monroe County Department of Human Services (MCDHS), Spiritus Christi Prison Outreach (SCPO), The Center for Youth Services, The Housing Council at PathStone, Wilson Commencement Park, and the YWCA of Rochester and Monroe County.

The outcomes below reflect funding expending during the 2014-15 program year, which included projects funded from 2013-14 program year:

- HOPE Ministry - \$15,593 – Homeless Prevention Assistance (HESG 2014) Prevention Assistance
- Rapid Rehousing - (HESG 2013 - 14) \$91,982 – Rapid Rehousing Partnership
- Rapid Rehousing – (HESG 2014 - 15) \$2,841 – Rapid Rehousing Partnership
- Coordinated Access Street Outreach – (HESG 2014) \$35,878 - Community Wide Coordinated Access Outreach

2. The three (3) ESG project that expended funds during the 2014 program year addressed homelessness prevention needs, rapid rehousing, and community wide coordinated access outreach as well as programming designed specifically to reduce the number of individuals and families needing these types of services on a recurring basis. For detailed figures on the number of individuals served, see the IDIS ESG CAPER section of this Report.

3. Emergency Solutions Grants (HESG) Program regulations require a minimum one-to-one match for all grant allocations. To ensure compliance with match requirements, Monroe County requires that funded agencies provide at least equal match for any funds requested through the program.

There were two (2) agencies awarded 2014 HESG funds for three (3) programs and one (1) awarded 2013 HESG funds, which expended funds during the 2014 program year. Below are the amounts and sources of eligible program match for all HESG expenditures during the 2013 – 2014 and 2014 - 2015 program year:

- HOPE Ministries (2014) - 2014 Expenditure - \$11,695.38. Match contribution: \$51,000 - Sources: donations, fundraising and memorials to HOPE Ministries
- Rapid Rehousing Partnership (2013) - Completed. 2014 Expenditure - \$91,982. Match contribution: \$92,000 - Sources: DHS landlord tenant agreement (security deposit) including DHS in-kind staff time for negotiating rent and administering landlord education and shelter liaison services \$65,750; Spiritus Christi Prison outreach \$3,415; CCSI in kind staff support and administrative services \$7,455, In-kind match for Housing Council landlord education classes at area sites \$ 15,380.

- Rapid Rehousing Partnership (2014) – 2014 Expenditures - \$2,841, Match contribution: \$3,000 – Sources: DHS landlord tenant agreement (security deposit) \$2,000, 1,000 in-kind services for DHS staff time for landlord education

- Community Wide Coordinated Access (2014) - 2014 Expenditure - \$35,878 Match contribution: \$36,000 - Sources: Hospitality bed stays in shelters \$7,050; CCSI in kind staff support \$4,150; CFC in kind staff support \$11,000; 2-1-1 operations \$13,800

4. N/A

5. The Discharge planning and coordination processes referenced in the following are the processes as noted in the 2013 CoC Collaborative Application. Overall, any facility discharging an individual to the community is responsible for ensuring a safe discharge and for arranging appropriate follow-up treatment.

#### Discharge From Mental Health Facilities:

Inpatient facilities licensed or operated by the New York State Office of Mental Health are encouraged to refer individuals to housing consistent with the level of care required by the patient and to not discharge patients until a comprehensive discharge plan is in place. Prior to discharge, individuals in need of supervised housing, and who agree to a referral, are referred to the Monroe County Single Point of Access (SPOA). The SPOA facilitates housing assistance for eligible individuals and connects persons to mental health care coordination services. Through the Homeless Services Network (HSN), the CoC has educated stakeholders about the primary providers of licensed mental health residential beds (DePaul Community Services, East House, Housing Options Made Easy, Rochester Psychiatric Center), health home care management (formerly intensive case management programs -Strong Memorial Hospital, Rochester General Health System, Unity Health System), and care coordination services (ACT Team, Project Link, MICA Net). Mental Health inpatient units are additionally required to refer eligible individuals to Health Homes which provide enhanced care management, ensuring linkage to appropriate housing.

For hospital discharges, the RBHO initiative previously captured in the CAPER was ended at the end of 2014. It was intended to be short term and the information gleaned from the RBHO's across the state was used to inform the process to transition to Medicaid managed care. Hospital discharge coordination is continuing via the planning stages of Medicaid Redesign through the NYS Delivery System Reform Incentive Payment (DSRIP) mechanism and in particular the work being done by Finger Lakes Performing Provider System (FLPPS). FLPPS is implementing a number of projects that will improve hospital discharge processes, including linking high risk persons with transition coaches to assist with care connections and follow-up upon discharge to help avoid hospital readmissions and the development of a short term transitional housing model for persons discharged with no stable housing to return to.

#### Discharge From Corrections:

Ex-offenders are most frequently discharged to their families or to independent living under the supervision of parole. New York State Parole has contracts with several community agencies to place ex-offenders when no other housing can be located (e.g., Salvation Army Adult Rehabilitation Center, Altamont House, Grace House, DuBois Re-Entry Program). The State is implementing a pilot project in Monroe County for effectively linking eligible individuals from this population to Health Homes, which will provide enhanced care management, ensuring that enrollees are linked to housing and social services supports. The CoC Team and the Monroe County Re-Entry Task Force work closely together and have members in common to assist ex-offenders to successfully transition back into the community. Linking ex-offenders to mainstream resources will reduce the

number of ex-offenders from entering the homeless system. New York State Division of Parole Rules and Regulations (9 NYCRR, Subtitle CC, Parts 8000-8011) govern the release of inmates from State correctional facilities, and as such, the correctional facilities are responsible for ensuring that ex-offenders are not routinely discharged into homelessness. Approximately 45-60 days prior to the inmate's release date, Division staff initiates the discharge planning process. Housing, specialized treatment needs, and employment are the highest priority goals addressed in the discharge plans. In addition, ex-offenders with diagnosed mental health issues are often referred to the Monroe County Single Point of Access (SPOA) for placement in licensed mental health beds prior to discharge from the correctional facility.

Discharge From Foster Care:

Youth being discharged from foster care or other institutional settings typically return to their family of origin or another responsible family member or adult. When no such adult can be located, the youth is placed in a community program specifically designed to prepare youth for independent living, such as The Villa of Hope or Hillside Children's Center. The CoC has educated homeless providers about the importance of ensuring that youth are not discharged into homelessness. Shelters have been instructed to immediately contact the Monroe County Department of Human Services to report the failed discharge plan if a youth is attempting to access homeless services. The youth is then connected to a caseworker who attempts to re-unite the youth with his/her family or other responsible adult and link him/her to appropriate services. If such a re-uniting is not possible, the youth is referred to a community program that prepares youth to transition to independent living. The New York State Office of Children and Family Services, in conjunction with the Monroe County Department of Human Services, is responsible for ensuring that youth are not routinely discharged into homelessness. New York State Regulation 18 NYCRR Section 430.12(f) prohibits the release of youth in foster care to a shelter for adults, a shelter for families, a single-room occupancy hotel, or any other congregate living arrangement that houses more than 10 unrelated persons. An appropriate residence must be identified, with the reasonable expectation that the discharge residence will remain available to the youth for at least 12 months after discharge. The regulations require local social services districts to refer youth to any needed services and to give the youth written notice of the discharge at least 90 days prior to the planned discharge.

(See attached IDIS ESG Program Performance Reports under the tab "Financial Summary and ESG Reports" and Homeless Needs Section 1.2. & 3)

## COMMUNITY DEVELOPMENT

### Community Development

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

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.
  - b. Evaluate progress made toward meeting goals for providing affordable housing using CDBG funds, including the number and types of households served.
  - c. Indicate the extent to which CDBG funds were used for activities that benefited extremely low-income, low-income, and moderate-income persons.
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.
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.
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.
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.
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.
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.
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.
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.
10. Loans and other receivables

- a. List the principal balance for each float-funded activity outstanding as of the end of the reporting period and the date(s) by which the funds are expected to be received.
- b. List the total number of other loans outstanding and the principal balance owed as of the end of the reporting period.
- c. List separately the total number of outstanding loans that are deferred or forgivable, the principal balance owed as of the end of the reporting period, and the terms of the deferral or forgiveness.
- d. Detail the total number and amount of loans made with CDBG funds that have gone into default and for which the balance was forgiven or written off during the reporting period.
- e. Provide a List of the parcels of property owned by the grantee or its subrecipients that have been acquired or improved using CDBG funds and that are available for sale as of the end of the reporting period.

11. Lump sum agreements

- a. Provide the name of the financial institution.
- b. Provide the date the funds were deposited.
- c. Provide the date the use of funds commenced.
- d. Provide the percentage of funds disbursed within 180 days of deposit in the institution.

12. Housing Rehabilitation – for each type of rehabilitation program for which projects/units were reported as completed during the program year

- a. Identify the type of program and number of projects/units completed for each program.
- b. Provide the total CDBG funds involved in the program.
- c. Detail other public and private funds involved in the project.

13. Neighborhood Revitalization Strategies – for grantees that have HUD-approved neighborhood revitalization strategies

- a. Describe progress against benchmarks for the program year. For grantees with Federally-designated EZs or ECs that received HUD approval for a neighborhood revitalization strategy, reports that are required as part of the EZ/EC process shall suffice for purposes of reporting progress.

Program Year 5 CAPER Community Development response:

1. Assessment of Goals and Objectives

a. See also General Questions 1a. Projects for Monroe County's 2014-2015 CDBG Program were selected for funding because they implemented the housing and community development strategies that address our primary program goals and objectives in housing, economic development, community services and public works/facility improvements.

b. Monroe County's CDBG funding strategy in regard to housing focuses on main objectives: counseling and providing financial assistance to first-time homebuyers; helping low-income, special needs and elderly persons maintain their homes through the Home Improvement Program; counseling those at risk of losing their homes to foreclosure; providing fair housing outreach and education throughout the community; and supplementing HOME-funded projects with eligible CDBG activities. The ability to meet the increasing affordable housing demands of moderate, low and very low-income households continues to be an ongoing challenge. Analysis of the affordable housing needs in suburban Monroe County continues to substantiate the need to work toward the provision of rental and homeownership opportunities for very low, low and moderate-income family households, elderly and special needs persons, while stabilizing the existing housing stock. The innovative affordable rental projects detailed in other sections of this Report are primarily funded through the HOME Program. CDBG funds are used on a limited basis for off-site infrastructure improvements in conjunction with HOME-funded rental projects.

- c. All of Monroe County's CDBG program beneficiaries were of low to moderate-income.
- 2. There have been no changes in Monroe County's program objectives during the reporting period.
- 3. a., b. & c.

Throughout the program year, Monroe County has provided letters certifying consistency with the current, HUD-approved Consolidated Plan to agencies requesting them. Monroe County implemented the 2014 Action Plan at the start of the program year on August 1, 2014 and did not delay program implementation.

- 4. a. & b.

All of the programs administered by Monroe County are used exclusively to meet the national objectives.

- 5. There were no households displaced as a result of any activities undertaken by Monroe County during this program year. All anti-displacement policies adopted and set out in the five-year 2010-2015 Strategic Plan were strictly followed.

- 6. N/A

- 7. N/A

- 8. Program Income Received

- a. Single-unit housing rehabilitation revolving loan fund account at M&T Bank - Program Income received in 2014 program year was \$65,588 [\$58,383 Principal - \$7,205 Interest] - Account balance available for relending \$239,830

- b. Float-funded activities [none]

- c. Other loan repayments by category:

- Payments on economic development loans [\$192,472 CDBG]
- Recapture payments from housing rehabilitation deferred loans [\$5,053 CDBG, \$3,500 HOME]

- d. Income received from sale of property [none]

- 9. N/A

- 10. Loans and Other Receivables

- a. N/A

- b. At the end of the reporting period, loans outstanding for both CDBG and HOME were:

- 12 Economic Development Loans outstanding with principal balance of \$728,573
- 34 Housing Rehabilitation Loans with a total outstanding principal balance of \$116,257
- 23 Affordable Rental Housing Loans outstanding with a principal balance of \$1,200,910 (HOME)

See Loan Portfolios under the tab entitled "Financial Summary Reports" for the ED Loan Fund, the HIP Loan and the Affordable Rental Housing Program (HOME).

- c. N/A

d. An update to the 2013 CAPER update regarding the 2012 Economic Development loan made to Boundary Fence of Rochester, LLC for the purchase of manufacturing equipment to establish operations in Monroe County. The facility opened in 2013 and created the required jobs and made loan payments until October of 2013. Operations were subsequently discontinued in December of 2013 and the loan defaulted. At the close of the 2014 Program Year (July 31, 201), the parent company for Boundary Fence is no longer doing business. This account has been turned over to the attorneys for collections.

e. N/A

11. N/A

12. During the program year, Monroe County completed 25 CDBG-funded Home Improvement grant projects, eight (8) of which also received loan funds for a portion of the project costs. Total CDBG grant funds expended for these 25 projects was \$288,451 and loans were \$38,177, for total CDBG grant and loan funds of \$326,628.

13. N/A

## **Antipoverty Strategy**

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

Program Year 5 CAPER Antipoverty Strategy response:

Strategies implemented in 2014 to reduce the number of people living below the poverty level in Monroe County included the continuation of existing programs and funding of new programs that promote a stable living environment and reducing dependency and poverty primarily caused by unemployment, underemployment, housing condition and cost burden. Programs that address a stable living environment include the Home Improvement Program, the Home Ownership Program, Expanding Housing Opportunities, Foreclosure Prevention and HECM Counseling. Lifespan's program for seniors provided minor home repairs and safety training to help elderly persons remain in their homes. In addition, many of the public facilities projects promote a stable living environment by reducing the cost burden placed on municipalities to make these improvements thereby reducing the costs passed on to local taxpayers. HESG funds were allocated to two (2) agencies, administering two (2) programs to provide critical services to homeless and at-risk individuals and families. Collectively, these programs helped prevent homelessness, financial hardship, institutionalization and poverty.

Monroe County Department of Human Services (MCDHS) is the primary provider of public assistance benefits for poverty level persons and, therefore, has the greatest capacity to reduce the number of poverty level families. Housing efforts, particularly emergency housing, are coordinated with the Homeless Continuum of Care and other community-wide affordable housing agencies.

Programs that provided job opportunities and reduced poverty include the Economic Development (ED) Grant and Loan Fund, which targets job creation to low/mod residents, and non-CDBG funded County programs that provide incentives to businesses that employ local labor, The Entrepreneurs Network (TEN), which offers training and mentoring for high-tech entrepreneurs, Monroe County Finger Lakes Procurement Technical Assistance Center (MCFLPTAC), which connects vendors to government procurement opportunities, and programs provided at job centers operated by RochesterWorks, Inc. The ED Grant & Loan Fund received an allocation of \$200,000 in 2014 to encourage business expansion and relocation with resulting job creation and retention. COMIDA

also continued to provide business development incentives and resources for companies that create and retain jobs.

To improve the cost of living, the County has kept property taxes stable, streamlined social services, enhanced economic development incentives for businesses, created more job centers, and now offers a prescription drug discount plan free to all County residents.

## 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 5 CAPER Non-homeless Special Needs response:

Actions taken by Monroe County to address the special supportive housing needs of the elderly include the CDBG-funded Safety and Security for Seniors Program by LifeSpan.

The Home Improvement Program provides an additional \$2,500 in grant funding for accessibility improvements, which may enable the elderly and persons with physical disabilities to remain in their homes and/or receive supportive services in their homes. Actions taken to address the supportive housing needs of persons with mental illness, HIV/AIDS, veterans, and persons with drug and/or alcohol dependency, are primarily addressed through Monroe County's participation on the Homeless Continuum of Care Team and the nearly \$11.1 million in projects funded through Exhibit I, including several Rental Assistance permanent supportive housing program (fka: ShelterPlus Care) programs administered jointly by the Rochester Housing Authority and Monroe County's Department of Human Services.

### 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 5 CAPER Specific HOPWA Objectives response:

N/A

## OTHER NARRATIVE

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

Program Year 5 CAPER Other Narrative response:

Program year accomplishments indicated in the various Activity Summary Reports reflect the actual dollar amount of funds expended and actual number of units and/or projects completed during the program year. Totals do not include projects and/or units that are underway.