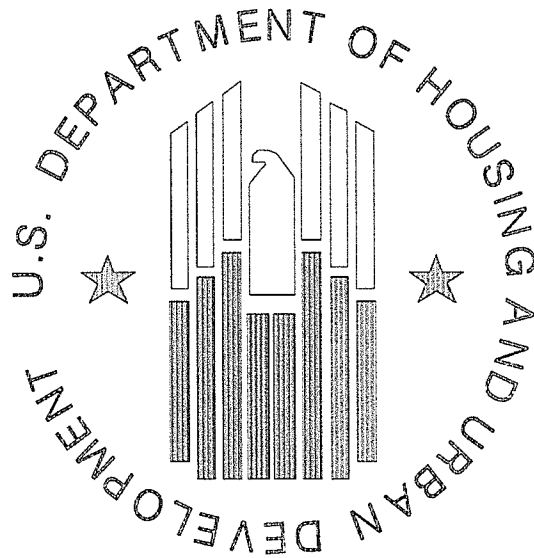


**U.S. Department of Housing & Urban Development  
Buffalo, New York Office**



**2015**  
**Annual Community Assessment Report**

For  
City of Schenectady, New York

Period Reviewed:  
July 1, 2015 – June 30, 2016

## **Introduction**

As a recipient of grant funds provided by the Department of Housing and Urban Development, each jurisdiction that has an approved Consolidated Plan shall annually review and report to HUD on the progress it has made in carrying out its Consolidated Plan and Annual Action Plan. The performance report is submitted to HUD in the form of the Consolidated Annual Performance and Evaluation Report (CAPER).

HUD has the responsibility to review the CAPER report and the performance for each jurisdiction on an annual basis. In conducting performance reviews, HUD will primarily rely on information obtained from the recipient's performance reports, records, findings from monitoring reviews, grantee and subrecipient audits, audits and surveys conducted by the Inspector General, and financial data regarding the amount of funds remaining in the line of credit plus program income. HUD may also consider relevant information pertaining to a recipient's performance gained from other sources, including litigation, citizen comments, and other information provided by or concerning the recipient. A recipient's failure to maintain records in the prescribed manner may result in a finding that the recipient has failed to meet the applicable requirement to which the records pertains. Such information, along with grantee input, is considered in HUD's Annual Community Assessment in order to make a determination that a grantee has the continuing capacity to administer HUD programs.

In the assessment of your community's performance, this report is prepared to provide feedback on your community's performance in the delivery of HUD's Community Development Programs. This report is presented in three sections. Section I provides a general summary related to your planning and performance reporting, Section II provides general overview related to specific program progress and performance, and Section III provides recommendations and areas for improvement.

### **Section I – Planning and Reporting**

2015 Programs and Funding Amounts:	CDBG	\$2,064,964.00
	HOME	\$ 831,448.00
	ESG	\$ 186,609.00

#### **Compliance with Consolidated Plan and 2015 Annual Action Plan**

It was determined that the City followed its HUD-approved Consolidated Plan and Annual Action Plan during the 2015 program year, consistent with the City's stated program goals and objectives. The activities designed, funded and completed during this reporting period principally benefited low-moderate income persons. More detailed information about accomplishment highlights can be found in Section II of this report.

Accuracy of Performance Reports

A Consolidated Annual Performance and Evaluation Report (CAPER) is due 90 days after the City completes their 2015 program year. The City's CAPER was received by the HUD Buffalo Field Office on September 27, 2016. More detailed information about the City's performance and accomplishments during the program year can be found in Section II of this report.

**Section II – Program Progress and Performance**

**Community Development Block Grant (CDBG) Program**  
**Summary of Performance Indicators and Accomplishments**

*Activities:* The following activities and accomplishments were completed during the program year:

**Public Services:** During the reporting period, the City spent \$231,549.00 on youth services, disability services, and housing counseling that benefitted low-moderate income persons.

**Demolition:** The City spent \$72,550.00 during the program year on clearance and demolition related activities.

**Street Improvements:** Approximately \$353,590 was spent on this activity during the reporting period.

**Planning and General Program Administration:** During the reporting period, \$311,046.00 was spent for planning and general administration of the CDBG program.

*National Objective Compliance:* The CDBG program was designed to principally benefit low-moderate income persons. During the reporting period, it was determined that the City spent 84.48% of their funds on activities that principally benefitted low-moderate income persons, according to the IDIS PR26 CDBG Financial Summary Report submitted with the CAPER.

*Planning and Administration:* The CDBG program rules allow the City to obligate up to 20% of their grant funds plus program income on eligible planning and administrative costs. According to the IDIS PR26 CDBG Financial Summary Report submitted with the CAPER, this amount was 19.52%.

*Public Service:* The CDBG program rules allow the City to obligate up to 15% of their grant funds plus program income on eligible public services related activities. According to the IDIS PR26 Financial Summary Report submitted with the CAPER, this amount was 11.47%.

*Program Progress and Timeliness:* The CDBG program requires that the City's unexpended CDBG funds be no more than 1.5 times their annual grant 60-days before the end of the program year. The City was in compliance with the 1.5 timeliness test made on May 1, 2016.

*IDIS Data:* The City is required to use the Integrated Disbursement and Information System (IDIS) to report on program activities and accomplishments. A review was made in order to determine the level of detail and accuracy of this data. Please see Section III for any recommendations and areas for improvement that were noted.

*Fair Housing and Equal Opportunity:* Our review did not reveal any significant issues related to compliance

*HUD Monitoring:* The Buffalo Field Office did not conduct an on-site monitoring review of the City's CDBG program during the 2015 program year.

### Financial

A review was made in order to determine the level of detail and accuracy of the financial information provided by the City. Please see Section III for recommendations and areas for improvement that were noted.

### Management

The City had experienced staff that was capable of administering and overseeing their CDBG program activities during the reporting period. The City also reports that they regularly monitor and evaluate subrecipients administering activities with CDBG funds.

### **Home Investment Partnerships (HOME) Program** Summary of Performance Indicators and Accomplishments

*Activities:* The following activities and accomplishments were completed during the program year:

*Affordable Housing Development:* The City expended \$1,122,241.00 for housing rehabilitation and homebuyer activities during the reporting period, and the CAPER reported that 40 projects were assisted.

*Beneficiary Compliance:* The HOME program was designed to principally benefit low-moderate income persons. Program progress was determined to be satisfactory.

*Commitments/Reservations/Disbursements:* The HOME program requires that funds be committed or reserved to a CHDO within two years, and disbursed within five years. Program progress was determined to be satisfactory during the reporting period.

*Match:* The City's match requirement was 25% during the reporting period and was met based on the HOME Match Report that was submitted with the CAPER.

*IDIS Data:* The City is required to use the Integrated Disbursement and Information System (IDIS) to report on program activities and accomplishments. A review was made in order to determine the level of detail and accuracy of this data. Please see Section III for any recommendations and areas for improvement that were noted.

*Fair Housing and Equal Opportunity:* Our review did not reveal any significant issues related to compliance

*HUD Monitoring:* The Buffalo Field Office did not conduct an on-site monitoring review of the City's HOME program during the 2015 program year.

### Financial

A review was made in order to determine the level of detail and accuracy of the financial information provided by the City. Please see Section III for recommendations and areas for improvement that were noted.

### Management

The City had experienced staff that was capable of administering and overseeing their HOME program activities during the reporting period. The City also reports that they regularly monitor and evaluate subrecipients administering activities with HOME funds.

### **Emergency Solutions Grant (ESG) Program** Summary of Performance Indicators and Accomplishments

*Activities:* The following activities and accomplishments were completed during the program year:

Emergency Shelters and Services: The City spent \$149,461.00 during the reporting period. The CAPER reported that 703 persons were assisted.

*Beneficiary Compliance:* The ESG program is designed to provide shelter and support services to homeless persons. Program progress was determined to be satisfactory.

*Obligation and Expenditure of Grant Funds:* The ESG program requires the City to obligate funds within 180 days and spend grant funds within 24 months of the date of the grant award. Based on a review of the Line of Credit Control System (LOCCS) data, the City currently has a balance of \$0.97 in unspent funds from 2011-2014.

*Match:* The City is required to match funds and this was met during the reporting period based on information submitted.

*IDIS Data:* The City is required to use the Integrated Disbursement and Information System (IDIS) to report on program activities and accomplishments. A review was made in order to determine the level of detail and accuracy of this data. Please see Section III for any recommendations and areas for improvement that were noted.

*Fair Housing and Equal Opportunity:* Our review did not reveal any significant issues related to compliance

*HUD Monitoring:* The Buffalo Field Office conducted an on-site monitoring review of the City's performance during the 2015 program year. There were no concerns or findings noted as a result of that review.

### Financial

A review was made in order to determine the level of detail and accuracy of the financial information provided by the City. Please see Section III for recommendations and areas for improvement that were noted.

### Management

The City had experienced staff that was capable of administering and overseeing their ESG program activities during the reporting period. The City also reports that they regularly monitor and evaluate subrecipients administering activities with ESG funds.

## **Section III – Recommendations and Areas for Improvement**

1. The City has an active Section 108 Loan and should be reporting on those activities and accomplishments. The City should enter information in IDIS about open and completed activities, and should report on them in subsequent CAPERs as well. If technical assistance or guidance is needed for completing this, please contact the Buffalo CPD Office.

There are no other recommendations or areas for improvement noted at this time.

This report was prepared by: Alex J. Vilaro, Senior CPD Representative  
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HUD is providing you the opportunity to review this assessment and comment. Based on the information available at the time of this review, HUD has determined that the City of Schenectady has the continuing capacity to carry out the HUD programs identified in this report.

If you have any questions or would like to discuss the Assessment Report, please contact Alex Vilardo, Senior Community Planning and Development (CPD) Representative at 716-551-5755 extension 5831. If you disagree with this assessment, please respond in writing to William O'Connell, Director of Community Planning & Development, HUD, 465 Main Street, Buffalo, NY 14203. Your response should identify any areas of disagreement and corrections or any additional comments you would like HUD to consider.